

AUBURN UNIVERSITY AT MONTGOMERY

FACULTY HANDBOOK

i. Note

This Faculty Handbook is not a contract. It is a collection of policies and procedures that govern action uniquely pertaining to the Auburn University at Montgomery faculty. Additions, deletions and modifications to any portion of this Handbook must be approved by the Faculty Senate. Changes to the Promotion and Tenure or Dismissal Guidelines must be approved by the Auburn Board of Trustees or their designee.

Faculty Handbook

Table of Contents

Part I – The University: General Information

- A. History
- B. University Vision Statement
- C. Mission of the University
- D. University Identity and Core Goals

Part II – Policies Pertaining to the Workplace

Part III – Faculty Council Constitution –

(Approved by Senate 03-21-2014, Approved by President Gouge 4-10-2015)

Article I: Purpose of the Faculty Council

Article II: Faculty Council

Article III: Faculty Senate

Article IV: Committees

Article V: Procedures

Article VI: Adoption

Article VII: Amendments

Part IV – Faculty Personnel Policies and Procedures

(T&P approved by Senate 4-8-2011, approved by Board of Trustees 6-17-2011)

(Dismissal approved by Senate 4-9-2012, approved by Board of Trustees 11-16-2012)

- A. Kinds of Appointment
- B. Appointment to the Faculty
- C. Academic Ranks
- D. Faculty Workload Policy
- E. Class Scheduling Guidelines

- F. Periodic Performance Review
- G. Third Year Review for Probationary Faculty
- H. University Committee on Promotion and Tenure
- I. Criteria and Procedures for Promotion
- J. Criteria and Procedures for Tenure
- K. Policies and Procedures for Appointment, Tenure, and Promotion of Librarians
With Faculty Rank
- L. Appeals Procedures for Promotion and Tenure Decisions
- M. Post-tenure Review
- N. Non-Continuation of Appointment
- O. Dismissal
- P. Termination Because of Financial Exigency
- Q. Appointment and Tenure of More Than One Member of the Same Family
- R. Professional Improvement Leave of Absence
- S. Faculty Grievance Procedure

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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, 1998, and most recently in 2008, 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, Nursing, 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.

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B. UNIVERSITY VISION STATEMENT

Auburn University at Montgomery will be a university that...

- Is known for its commitment to developing dynamic and applied academic and research programs.
- Is a student’s first choice in a variety of programs of distinction.
- Embraces and builds an international presence at home and abroad, increasingly known for its ability to prepare students to thrive in a global community.
- Graduates students who become engaged alumni with a life-long interest in and personal connection to AUM.
- Is recognized as an integral community partner and a resource for the enrichment and economic development of the Southeast region and beyond.

C. MISSION OF THE UNIVERSITY

The mission of Auburn University at Montgomery is to provide quality and diverse educational opportunities at the undergraduate and graduate levels through use of traditional and electronic delivery systems, and to foster and support an environment conducive to teaching, research, scholarship, and collaboration with government agencies, our community, and other educational institutions.

D. UNIVERSITY IDENTITY AND CORE VALUES

Auburn University at Montgomery is a fully accredited comprehensive, public university with a diverse student population that includes a blend of traditional and non-traditional learners awarded degrees in a variety of disciplines from its programs. Our personalized and caring learning environment offers academically strong undergraduate and graduate programs designed and taught by faculty who are active researchers in their fields and who play a vital role in each student’s success. We stand apart from our peers as an institution with an applied emphasis, having a history of producing leaders prepared to make a positive impact in their chosen fields.

As a critical partner in our community, we provide expertise that enhances economic development and the quality of life for individuals in the region and beyond. These partnerships strengthen not only our community, but our students and faculty as well.

Core Values

Auburn University at Montgomery values and promotes:

- A Student-Centered Experience
- Citizenship & Community Engagement
- Excellence as Our Standard
- Commitment to Constant Improvement
- Diversity of People & Perspective with a Culture of Inclusiveness
- Lifelong Learning
- Environment of Collaboration

1 **PART II**

2 **POLICIES PERTAINING TO THE WORKPLACE**

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4 University Policies affecting the workplace are posted on the AUM website, and all faculty are
5 encouraged to be familiar with those policies which affect them.

6 <http://www.aum.edu/about-aum/governance/university-policy/current-policy>

7 New policies are posted for review on the AUM website and are open for comments for twenty-
8 one days and until the next meeting of the Faculty Senate.

9 <http://www.aum.edu/about-aum/governance/university-policy>

10

11 University policies that apply to all categories of employment at Auburn University at
12 Montgomery – faculty, administrative and professional, and staff – are not included in the
13 *Faculty Handbook*. Faculty members are reminded that these policies apply to them and that it is
14 their responsibility to consult other sources for policies of general application to all employees of
15 Auburn University at Montgomery.

16 All committees of the Faculty Senate have among their charges the review of proposed policies;
17 any policy proposal affecting faculty should be brought to the attention of the Faculty Council
18 President during the review period so that he/she can put it on the agenda for the next meeting
19 of the Senate.

1 **PART III**

2 **FACULTY COUNCIL CONSTITUTION**

3 **Article I**

4 **PURPOSE OF THE FACULTY COUNCIL**

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

15
16 The purpose of the Faculty Council is to receive information from any appropriate source and to
17 act within the scope of this Constitution on matters pertaining to the quality of education at AUM,
18 welfare of faculty and staff, and the relationship between AUM and the external community.

19 **Article II**

20 **FACULTY COUNCIL**

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

26
27 **Section 2. Officers of Faculty Council:** The officers of the Faculty Council shall be the
28 President, President Elect, Secretary, and Parliamentarian.

29
30 **Section 3. Election of Officers:** The President Elect, Secretary, and Parliamentarian shall be
31 elected by secret ballot at the spring Faculty Council meeting. Candidates for the positions of
32 President and President Elect should have been granted tenure prior to the date of the election,
33 in which they are candidates.

34
35 a. **Nominations:** The Rules Committee shall appoint an Elections Committee of six
36 members representing the five academic Schools and the Library at least 60 days prior
37 to the spring meeting. The Elections Committee shall present one or more names for
38 each of the offices of President Elect, Secretary, and Parliamentarian. The names of
39 nominees shall be sent to the membership at least seven days prior to the spring
40 meeting. Nominations also may be made from the floor at the spring meeting if the
41 consent of the nominee has been obtained.

42
43 b. **Elections:** Election shall be by secret ballot with a majority of the votes required for
44 election. Should no nominee receive a majority on the first ballot, there shall be at the
45 same meeting a run-off election between the two nominees receiving the largest number
46 of votes on the first ballot.

47
48 The Elections Committee shall be responsible for preparing ballots and for the
49 distribution and counting of those ballots. Ballots shall be held by the outgoing Secretary
50 until June 1 of the following year at which time they shall be destroyed. During the

51 period between the election and June 1 of the following year all ballots shall be available
52 for audit by any member of the Faculty Council upon request to the Secretary.

- 53
54 c. **Absentee Voting:** The Elections Committee shall establish procedures to permit
55 members of the Faculty Council who are unable to attend the spring meeting to vote by
56 absentee ballot in the election of officers of the Faculty Council. Members of the Faculty
57 Council shall be notified in writing of these procedures at least seven days prior to the
58 spring meeting; consistent with the provisions of Article II, Section 3 b, the Elections
59 Committee shall provide for the confidentiality of individual ballots.

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

64 **Article III FACULTY**

65 **SENATE**

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

70 **Section 2. Responsibilities of the Faculty Senate**

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72
73 a. The Faculty Senate is responsible for interpreting this Constitution.
74
75 b. It has the overall responsibility for preparation of ballots and management of the election
76 of members of the Faculty Senate.
77
78 c. It is responsible for establishing and abolishing committees, for taking action on and
79 disposing of committee reports, and for reporting to the committees and the Faculty
80 Council. It will decide on policy matters pertinent to the operation of the Faculty Council.
81
82 d. It is responsible for keeping records of its activities and communicating those activities to
83 the Faculty Council. Non-current records of the Faculty Council, the Faculty Senate, and
84 its committees shall be deposited in the University Archives and shall be available for
85 examination by any interested individual(s).

86
87 **Section 3. Officers of the Senate:** The Officers of the Faculty Senate are President, President
88 Elect, Secretary, and Parliamentarian. The corresponding Officers of the Faculty Council shall
89 serve in these positions in the Faculty Senate.

90 **Section 4. Duties of Officers**

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93 a. **President:** The duties of the President include presiding over meetings of the Faculty
94 Senate and meetings of the Faculty Council, announcing such meetings, calling for
95 elections and reporting results, signing Faculty Senate and Faculty Council
96 correspondence, and assuming overall responsibility for the effective implementation of
97 this Constitution to benefit the welfare of the Faculty Council and AUM.
98
99 b. **President Elect:** The duties of the President Elect include chairing the Faculty Welfare
100 Committee, assisting the President in the performance of his/her duties, and serving as
101 a member of the Rules Committee. In the event the President cannot perform the duties

102 of that office, the President Elect shall assume the duties of the President. If the office of
103 President becomes vacant, the President Elect shall assume the office of President. At
104 the end of his/her term of office, the President Elect will assume the office of President
105 for one year.

- 106
107 c. **Secretary:** The duties of the Secretary include arranging for the keeping of accurate
108 records of meetings, working sessions, and Faculty Senate and Faculty Council
109 operations. The Secretary will keep a current roster of the Faculty Council, updated
110 each semester. He or she will also ensure the information posted to the Senate's
111 webpage is accurate and current.
- 112
113 d. **Parliamentarian:** The duty of the Parliamentarian is to advise the presiding officer such
114 that all official business is conducted in accordance with *Robert's Rules of Order,*
115 *Revised* and within the procedures delineated in this Constitution.

116 117 **Section 5. Members of the Senate**

- 118
119 a. **Eligibility:** All members of the Faculty Council are eligible for election to the Faculty
120 Senate. The President of the Staff Advisory Council and the President of the Student
121 Government Association will serve as non-voting, *ex officio* members of the Faculty
122 Senate.

- 123
124 b. **Election of Senators:** Membership in the Senate will be staggered within the schools so
125 that, roughly, 1/3 of the Senate is elected every year, 1/3 is serving a second year, and
126 1/3 is serving a third year.

127
128 Election will occur in the spring, following the elections for the officers of the senate.
129 These elections should occur within one month of the elections of officers. At this time
130 the election of new senators will occur as well as a special election for the seat of any
131 senator who was recently elected an officer of the senate. The elected replacement will
132 serve the remainder of that senator's term. Results of these elections will be announced
133 by the President prior to the end of the spring semester.

- 134
135 c. **Procedures:** Election of members of the Faculty Senate will be by secret ballot. Each
136 academic School and the Library will elect members of the Faculty Senate in accordance
137 with the following formula: two members of the Faculty Senate for 1-30 Faculty Council
138 members, and three members of the Faculty Senate for more than 30 Faculty Council
139 members.

140
141 When any academic School or the Library becomes eligible for an additional member of
142 the Faculty Senate, the President will call a special election to fill the additional position.
143 The Faculty Senate will determine and announce the additional Faculty Senate
144 member's term of office, which will be the longest term possible consistent with the
145 requirement that members of the Faculty Senate from any academic School or the
146 Library should serve staggered terms. After the initial term, members of the Faculty
147 Senate will be elected by simple majority for two-year terms.

148

149 If the number of members of the Faculty Senate to which a unit is entitled must be
150 decreased, such decrease will be accomplished by not filling an appropriate number of
151 positions from that unit when they become vacant.

152
153 c. **Length of Service:** Members of the Faculty Senate will ordinarily serve for three years
154 with the term of service beginning June 1 and ending May 31. Members of the Faculty
155 Senate may serve two consecutive terms.

156
157 d. **Vacancies:** In the event of resignation or departure of members of the Faculty Senate
158 and/or Faculty Senate Officers, the President will call a special election to fill vacancies.
159 Members of the Faculty Senate elected to fill vacancies will serve the remainder of the
160 original term.

161
162 In the event the President resigns prior to January 1, the President Elect will assume the
163 office and call a special election to fill the office of the President Elect. The new
164 President Elect will assume the office of President the following June 1. In the event the
165 President resigns on or after January 1, the President Elect will assume the office of
166 President, his/her term of office shall extend through May 31 of the following year, the
167 office of President Elect shall remain vacant, and the Senate shall elect one of its
168 members to assume the remaining duties of the President Elect.

169
170 In the event all Officer positions are vacant, a special election will be called by the
171 majority of the remaining members of the Faculty Senate.

172
173 e. **Absences:** All members of the Faculty Senate are expected to attend all meetings.
174 Absence of any member of the Faculty Senate from three Faculty Senate meetings
175 between June 1 and May 31, whether or not a substitute has attended on his/her behalf,
176 will constitute resignation. Absences during the summer term will not be included in
177 applying this rule.

178 **Article IV**

179 **COMMITTEES**

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184 **Section 1. Standing Committees:** The standing Committees of the Faculty Senate shall
185 include

186
187 Academic Standards
188 Administrator Evaluation
189 Calendar, Scheduling and Registration
190 Core Curriculum Oversight
191 Curriculum
192 *Faculty Handbook Review*
193 Faculty Welfare
194 Graduate Council
195 Grievance
196 Honors
197 Intercollegiate Athletics
198 Lectures
199 Library

200 Planning, Priorities, and Resource Allocation
201 Rules
202 Teaching Effectiveness
203 Writing Across the Curriculum
204

205 **Section 2. Committee Composition and General Purpose:** The Committees of the Faculty
206 Senate shall be constituted with a general purpose as follows:
207

208 **Academic Standards Committee.** This committee shall consist of the Provost or a person
209 appointed by him/her and faculty representatives from the academic Schools/Colleges and the
210 Library appointed by the Rules Committee. In addition, non-voting, *ex officio* members of the
211 committee shall include the Registrar, and the Faculty Athletic Representative to the national
212 athletics governing body. This committee shall recommend policies to govern scholastic
213 standards for the University, including admission to the University, continuation in residence,
214 and graduation.
215

216 **Administrator Evaluation Committee.** This committee shall consist of six members
217 representing all academic Schools/Colleges and the Library. This committee shall conduct and
218 oversee evaluations of University administrators. The committee shall also develop procedures
219 by which the faculty can participate in these evaluations.
220

221 **Calendar, Scheduling and Registration Committee.** This committee shall consist of the
222 Provost or a person appointed by him/her and one representative from each academic School
223 or College and the Library; the Registrar serves as a non-voting *ex officio* member. This
224 committee shall submit a proposed University calendar for approval by the Faculty Senate. It
225 will recommend policies concerning scheduling to obtain more effective use of the University's
226 facilities and shall monitor and recommend policies for registration.
227

228 **Core Curriculum Oversight Committee.** The committee shall be co-chaired by a faculty
229 member appointed by the Rules Committee and the Provost or a person appointed by him/her
230 Additional members of the committee shall consist of the Registrar as a non-voting *ex officio*
231 member, and one representative from each academic School or College and the Library. The
232 committee shall ensure that the approved core curriculum is implemented. In addition the
233 committee shall have the responsibility of recommending admission of courses to the core,
234 determining equivalencies, assessing and evaluating courses, and reviewing curriculum models
235 from each academic area to ensure that core courses are appropriately incorporated.
236

237 **Curriculum Committee.** The committee shall be co-chaired by a faculty member appointed by
238 the Rules Committee and the Provost or a person appointed by him/her Additional members of
239 the committee shall consist of the Registrar as a non-voting *ex officio* member, and one
240 representative from each School or College and the Library. The committee shall review
241 requests for curriculum changes in courses that may be taken for undergraduate credit, review
242 and recommend approval of all proposals for new undergraduate programs and modifications to
243 existing programs, review existing programs, recommend regulations and policies for the
244 undergraduate programs, and assist the Provost in carrying out those regulations and policies.
245

246 **Faculty Handbook Review Committee.** The committee shall consist of a faculty member from
247 each of the academic schools/colleges and the Library and the Provost or person appointed by
248 him or her. The committee shall solicit suggestions for changes and updating of the *Faculty*
249 *Handbook* and recommend annually to the Faculty Senate such changes as it deems
250 appropriate.

251
252 **Faculty Welfare Committee.** This committee shall consist of two representatives from each
253 School or College and the Library to be appointed by the Rules Committee. The President-Elect
254 will serve as a voting member. The committee shall receive, originate, and consider
255 suggestions concerning faculty welfare.
256

257 **Graduate Council.** This committee shall be co-chaired by a faculty member appointed by the
258 Rules Committee and the Provost or a person appointed by him/her. Additional members of the
259 committee shall consist of the Dean of the Library or his/her representative as non-voting, ex
260 officio members, and representatives of each School/College. Schools/Colleges with graduate
261 programs will each supply two members; those without a graduate program will supply one
262 faculty member. In cases where a School/College has two members, both members shall be
263 elected by the graduate faculty of that School. Schools/Colleges with one member shall be
264 elected by that School's/College's graduate faculty. Graduate coordinators from each academic
265 School/College serve as non-voting, ex-officio members. All voting members of the Graduate
266 Council must belong to the graduate faculty. In close cooperation with Academic Affairs and
267 Graduate Studies, the Graduate Council will recommend policy for AUM graduate programs. Its
268 responsibilities will include: monitoring the standards for graduate teaching approval by
269 academic Schools/Colleges and Departments, approving additions, deletions, and alterations of
270 graduate courses; approving admission standards to graduate programs; and reviewing and in
271 general maintaining the quality of graduate programs in place at AUM as well as the
272 development of new graduate programs.

273 **Grievance Committee.** The Grievance Committee consists of one elected member from each
274 of the academic Schools/Colleges and the Library. The committee shall evaluate grievances
275 filed by faculty members and make recommendations to the Chancellor. The committee shall
276 follow the faculty grievance procedure and calendar described in "Faculty Personnel Policies
277 and Procedures." The composition of the committee and the election of members and chair are
278 described in the same section.
279

280 **Honors Committee.** The University Honors Committee consists of one faculty member from
281 each School or College and the Library, and the Director of the Honors Program. In addition,
282 the Provost or a person appointed by him or her, the Chair of the Lectures Committee, the Chair
283 of the Curriculum Committee serve *ex officio*; one student from the Honors Program selected by
284 the Director serves as a non-voting, *ex officio* member. The Honors Committee works with the
285 Honors Director to screen and invite students, to select and schedule courses, and to monitor
286 classes. The chair will be appointed by the Rules Committee from among faculty membership
287 on the committee.
288

289 **Intercollegiate Athletics Committee.** This committee shall consist of one representative from
290 each School or College and the Library and the current faculty representative to the national
291 athletics governing body. The Athletic Director, the Registrar, and a representative of the
292 Student Government Association serve as non-voting, *ex officio* members. This committee shall
293 make recommendations to the Faculty Senate on issues regarding the intercollegiate athletic
294 program of the University.
295

296 **Lectures Committee.** The committee shall consist of one representative from each School or
297 College and the Library; additionally, one representative of the Staff Council, one representative
298 from Continuing Education, and a representative of the Student Government Association shall
299 serve as non-voting, *ex officio* members. The committee shall augment the instructional
300 programs of the University by supporting speakers of distinctive scholarship and
301 accomplishment who would be of interest to students, faculty, and staff.

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Library Committee. This committee shall consist of the Dean of the Library, non-voting *ex officio*, and faculty members from the academic Schools/Colleges and the Library to be appointed by the Rules Committee. 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 or College 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. 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 the Staff Council, and six members elected by the Faculty Senate, one from each of the academic schools/colleges and the Library.

The term of each elected member shall be for three years with staggered terms. Elections 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.

An 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 or College and the Library. This committee shall focus on the evaluation and enhancement of teaching effectiveness in traditional and online environments.

Writing Across the Curriculum Committee. Membership of the committee will be composed of a representative from each academic School or College and the Library; in addition, the members of the Executive Writing Committee serve as non-voting, *ex officio* members. This committee will advise administrators regarding the policies and practices of the AUM Writing Across the Curriculum (WAC) program, and is chaired by the Director of Writing Across the Curriculum.

352
353 **Section 3. Other Standing or Temporary Committees:** The Rules Committee shall appoint
354 the appropriate members to other standing or temporary committees that may be created by the
355 Faculty Senate. All appointments shall be confirmed by the Faculty Senate.

356
357 **Section 4. Committee Membership:** Except as otherwise described in Article IV, Section 2,
358 all committees shall be constituted with a membership consisting of one representative from
359 each academic School or College and the Library appointed by the Rules Committee.

360
361 **Section 5. Committee Member Terms**

362
363 a. Except as otherwise noted, all terms of committee members will begin on June 1 and end
364 on May 31.

365
366 b. Except as otherwise described in Section 2, the terms of committee members shall be
367 for three years. No committee member shall serve more than two consecutive terms except
368 those from units of fewer than fifteen full-time faculty members who may serve no more than
369 four consecutive terms.

370
371 c. If a committee member is unable to fulfill his or her assigned responsibilities to the
372 committee work, the committee chair will give the member ten days' notice to remedy the
373 situation. If there is no remedy, the chair can request that the Rules Committee remove the
374 committee member and appoint a replacement.

375
376 **Section 6. Committee Chairs**

377
378 a. Except as otherwise described in Section 2, the chairs of committees shall be appointed
379 from among the membership of the committee by the Rules Committee for three-year
380 terms.

381
382 b. Committee chairs may serve a second three-year term should the incumbent so desire
383 and the Rules Committee so concur. Under normal conditions, after two terms, the chair
384 should rotate to a new committee member. If the Rules Committee believes that one
385 additional three-year term is necessary, the person may continue to serve if a majority of
386 the members of that committee and the Faculty Senate vote in favor of allowing another
387 term.

388
389 c. In the event that a committee chair cannot or does not conduct the business of the
390 committee according to the procedures of this Constitution and the specific charge
391 assigned by the Faculty Senate, the President of the Faculty Senate will give the
392 committee chair a 10 day notice that action will be taken to remove the chair from that
393 position. A committee chair can be removed from that position prior to the end of the
394 appointment term by a majority vote of the Rules Committee. The replacement of
395 committee chairs shall follow the procedures in Section 6 a.

396
397 d. Committee chairs may expand committee membership as needed to complete charges
398 with notice to the President who will inform the Senate. Such expansion of committee
399 membership is limited to one-year, and such additional members shall serve as non-

400 voting, *ex officio* members.

401 **Article V**

402 **PROCEDURES**

403
404
405
406 **Section 1. Faculty Senate:** The Faculty Senate will conduct all business according to *Robert's*
407 *Rules of Order, Revised*. The Faculty Senate will make arrangements for and keep secure an
408 accurate record of all proceedings including regular meetings, special meetings, working
409 sessions, and committee reports. The Secretary of the Senate will deposit copies of the
410 minutes and reports of the Senate in the University archives. The Faculty Senate will reply in
411 writing to all committee recommendations by describing the disposition of such
412 recommendations and any action taken. It will report on all such business at its regular
413 meetings and at meetings of the Faculty Council.

414
415 **Section 2. Meetings**

- 416
417 a. **Faculty Senate Meetings:** Faculty Senate meetings will be held at least monthly except
418 in the months of December and August. Additional meetings may be called by the
419 President. Meetings will be open, and they will be announced at least five full working
420 days ahead of time with a copy of the specific agenda.
- 421
422 b. **Faculty Council Meetings:** Faculty Council meetings will be held at least once each
423 academic semester except summer term. These meetings will be open and will be
424 announced by the President in writing at least five full working days ahead of time with a
425 copy of the specific agenda. The announcement of the meetings and agenda will be
426 distributed to all Faculty Council members and other appropriate parties. The President
427 will preside over these meetings.
- 428
429 c. **Committee Meetings:** Committee meetings will be held as needed. Except where
430 otherwise specified, these meetings will be open

431
432 **Section 3. Quorum**

- 433
434 a. **Faculty Senate:** A quorum for Faculty Senate meetings will consist of a majority of the
435 voting members of the Faculty Senate (including substitutes).
- 436
437 b. **Faculty Council:** A quorum for Faculty Council meetings will consist of those members
438 present.
- 439
440 c. **Faculty Senate Committees:** A quorum for Faculty Senate Committee meetings will
441 consist of those members present.

442
443 **Section 4. Substitutes**

- 444
445 a. **Faculty Senate:** A member of the Faculty Senate may designate a member from his/her
446 constituency as a substitute to attend a meeting in his/her place. However, a substitute
447 may serve only twice between June 1 and May 31.
- 448
449 b. **Faculty Senate Committees:** A member of a standing committee may designate a
450 member of his/her constituency as a substitute to attend a meeting in his/her place.

451
452 **Section 5. Voting:** All voting of the Faculty Council and Faculty Senate, except for
453 constitutional amendments, will be based on a simple majority of those present and voting.

- 454
- 455 a. **Faculty Senate:** All members have one vote each, including officers.
 - 456
 - 457 b. **Faculty Council:** All members have one vote each.
 - 458
 - 459 c. **Committees:** Except where otherwise noted, all members have one vote each.
 - 460
 - 461 d. **Proxy Vote:** Except for the election of officers only members and designated substitutes
462 present at the time a vote is taken may vote.
 - 463

464 **Section 6. Processing Recommendations:** When a written recommendation has been
465 received by the Faculty Senate or by an individual member of the Faculty Senate through one of
466 the appointed committees or from an individual or group of members of the Faculty Council, the
467 Faculty Senate will consider it at its next regular meeting, or at a special meeting, via
468 conference call, and/or e-mail vote if the recommendation is one of urgency in the opinion of the
469 President. Significant matters should be carried over to and appear on the agenda of the next
470 meeting. It may forward the recommendation to the appropriate party for action. The Faculty
471 Senate will advise the committee, individual, or group initiating the recommendation as to its
472 disposition, and it will report to the Faculty Council on this matter at the next meeting. The
473 Faculty Senate will also report on any action taken by the Faculty Senate, its officers, and the
474 University administration.

475
476 **Article VI**

477
478 **ADOPTION**

479
480 This Constitution shall be ratified upon the affirmative vote of two-thirds of the members present
481 at a regular meeting of the Faculty Council and the approval of the President of Auburn
482 University. The notice of such meeting of the Faculty Council shall include a draft of the
483 proposed Constitution.

484
485 **Article VII**

486
487 **AMENDMENTS**

488
489 Proposed amendments to this Constitution must be made in writing to the Faculty Senate, and
490 the Faculty Senate will determine whether to submit the amendment to the Faculty Council. In
491 the event that a proposed amendment receives the written endorsement of more than twenty-
492 five percent of the faculty, however, the Faculty Senate is required to submit the amendment to
493 the Faculty Council. These articles may be amended by a two-thirds vote of the members
494 present at a Faculty Council meeting. Any amendment to this Constitution, to be valid, must be
495 consistent with laws governing the Board of Trustees of Auburn University and the State of
496 Alabama and be approved by the President of Auburn University. Unless otherwise specified in
497 an amendment, all amendments to this Constitution will become effective at the beginning of the
498 first Fall Semester following approval by the President of Auburn University.

499
500 Adopted by the Faculty Council: April 16, 1982
501 Approved by the Board of Trustees of Auburn University: May 1, 1982

502
503 Amended: May 25, 1984
504 Approved: September 21, 1984
505
506 Amended: March 15, 1985
507 Approved: June 3, 1985
508
509 Amended: October 4, 1985
510 Approved: February 26, 1986
511
512 Amended: October 3, 1986
513 Approved: February 18, 1987
514
515 Amended: May 26, 1995
516 Approved: August 18, 1995
517
518 Amended: October 15, 2010
519 Approved: April 15, 2011
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521 Amended: March 21, 2014
522 Approved: April 10, 2015
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Part IV

FACULTY PERSONNEL POLICIES AND PROCEDURES

A. KINDS OF APPOINTMENT

Each member of the faculty employed at Auburn University at 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 at 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 whenever reference is made to Department Head.) When making a recommendation for any appointment to the full-time faculty, the Department Head shall conduct a poll of all 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 Provost for review and approval. The Dean makes the appointment with the approval of the Provost and upon

51 concurrence of the Chancellor. In the case of a probationary faculty appointment, the letter of
52 appointment must specify the last term during which the candidate may apply for promotion and/
53 or tenure; in addition, the letter of appointment must specify during which semester the third
54 year review shall take place. In the case of appointment to the clinical and lecturer/senior
55 lecturer faculty, the letter of appointment must specify the length of the appointment and other
56 conditions which may apply to eligibility for reappointment.
57

58 Auburn University at Montgomery recognizes that its success as an educational institution
59 depends largely on its ability to attract and retain well-educated, talented, and dedicated faculty
60 members. Thus, within available resources, it rewards individuals who demonstrate high-quality
61 performance of academic duties by granting tenure, promotions, and salary increases.
62

63 C. ACADEMIC RANKS 64

65 The faculty shall consist of the ranks of Instructor, Assistant Professor, Associate Professor,
66 Professor, and Librarian I, II, III, IV. Academic administrators must have had significant non-
67 administrative involvement in the instructional or research programs of a university to qualify for
68 academic rank. Once tenure and academic rank are earned by a faculty member, both will be
69 retained if he or she subsequently assumes a full-time administrative position. Tenure does not
70 apply to the administrative appointment.
71

72 The following general considerations shall apply to appointment or promotion to academic
73 ranks:
74

- 75 a. **Instructor:** Appointment to the rank of Instructor should be based on academic
76 achievement and other appropriate indications of the candidate's ability to perform
77 successfully the professional duties assigned. An instructor who has served on a full-
78 time appointment may be considered on the basis of highly meritorious performance and
79 strong evidence of professional development for promotion to the rank of assistant
80 professor. Whether promoted or not, during his or her sixth year of service an instructor
81 must be nominated for tenure or given due notice of noncontinuation no later than
82 August 16 of his or her sixth year of service.
83
- 84 b. **Assistant Professor:** Appointment or promotion to the rank of Assistant Professor
85 should be based upon demonstrated academic ability and potential for professional
86 growth. The candidate should have completed a terminal degree appropriate for the
87 discipline or have the equivalent in training and experience. ("Terminal degree" refers to
88 the highest degree awarded in a discipline. The doctorate is the terminal degree for
89 most disciplines represented at Auburn University at Montgomery, although exceptions
90 may be made.)
91
- 92 c. **Associate Professor:** Appointment or promotion to the rank of Associate Professor is
93 based upon actual performance as well as demonstrated potential for further
94 development. Above all, there must be objective evidence that the individual is growing
95 professionally and is contributing to his/her field. Associate Professor is a high
96 academic rank, and promotion to this rank, in and of itself, carries no presumption of
97 future promotion. For a faculty member to reach the Associate Professor rank, he or she
98 should have the terminal degree appropriate to the discipline. In exceptional cases, an
99 Assistant Professor without a terminal degree who has gained distinction as a publishing
100 scholar or creative artist may be promoted to the rank of Associate Professor.
101

- 102 **d. Professor:** Appointment or promotion to the rank of Professor implies recognition of the
103 individual by associates and students as an accomplished teacher and by peers, within
104 and outside the University, as a productive scholar or creative artist. The individual must
105 have demonstrated, through scholarly papers, publications, applied research, and/or
106 artistic work, the ability to communicate to professional peers the knowledge and
107 insights gained from the exploration of his/her area of specialization. It is expected that
108 he/she will have made important contributions on a state and national level in research,
109 public and professional service, and/or administrative service to professional societies.
110 To some extent, the modes of scholarly production will be determined by the nature of
111 the individual's particular discipline and its relation to the several missions of the
112 University. While peer review is crucial, it should be remembered that in some
113 disciplines, peers may include fellow professionals outside the academic community. All
114 candidates must have the appropriate terminal degree.
115

116 **D. FACULTY WORKLOAD POLICY**

117
118
119 The primary purpose of the workload policy for Auburn University Montgomery is to facilitate
120 achievement of the University's mission.
121

122 **Assumptions:**

- 123
124 • Since teaching is the primary mission of AUM, paramount in the assignment of workloads is
125 furthering the education of our students.
126
- 127 • Assignments are made with an understanding of mutual trust and in an effort to be fair and
128 equitable.
129
- 130 • The mission of the various schools and the departments within those schools are often
131 unique and require flexibility in workload assignments.
132
- 133 • A primary responsibility of Deans and Department Heads is to assign, monitor, and evaluate
134 the workload.
135
- 136 • Department Heads are in the best position to oversee the performance in their areas and
137 have the primary responsibility for assigning the workloads.
138
- 139 • A faculty appointment requires workload effort in all three areas - teaching, scholarship, and
140 service.
141

142 **Guidelines for Workload:**

143
144 Due to the creative nature of university work, reasonable flexibility is anticipated in
145 accomplishing the assigned workload. Expectations are such that the assigned workload could
146 be accomplished in a forty hour week during the academic year. Hours per week, however, are
147 only a guideline for expectations. Performance will be evaluated on contributions which assist
148 in the accomplishment of our mission.
149

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

153
154 Joint appointment on the Auburn and Montgomery campuses of Auburn University cannot
155 exceed 100 percent time.

156
157 At the start of each academic year all faculty members will submit a short plan to their
158 Department Head, indicating what they expect to do during the coming year in teaching,
159 research and service. The Department Head in consultation with the faculty member will
160 approve a final plan for the expected workload for the individual. It is understood that plans are
161 always subject to revisions.

162
163 The approved workload will serve as a major guideline in the performance evaluation of the
164 faculty member for the year.

165
166 In shifting workloads Department Heads have the authority to reduce an individual faculty
167 member's teaching load to 18 semester hours from 21 semester hours for the academic year.
168 Reductions below this level will require approval of the Dean and Provost.

169
170 The Deans and Department Heads are responsible for assuring that current programs will be
171 offered with existing resources.

172
173 The Dean is responsible for review and final approval of the workload plans in the school.

174 175 176 **E. CLASS SCHEDULING GUIDELINES**

177
178 Teaching schedules and related assignments must balance the needs of the university, the
179 school, and the department with the personal preferences of the faculty involved. Faculty may
180 need to adjust their preferences to meet the needs of their academic programs, and those
181 responsible for developing class schedules must be careful not to use the authority to develop
182 schedules to penalize or make more difficult for personal reasons the lives of those affected.

183 184 **F. PERIODIC PERFORMANCE REVIEW**

185
186 It is the joint responsibility of a faculty member and the Department Head to review the faculty
187 member's professional progress. The period of annual review for all is the January through
188 December calendar year. As part of the evaluation process, the Department Head will meet
189 with the faculty member to review the evaluation and the Department Head will give the faculty
190 member his/her copy of the evaluation report. More frequent reviews may be conducted at the
191 discretion of the faculty member or the Department Head. Department Heads will complete the
192 evaluation process by February 28.

193
194 These evaluations are intended to inform faculty members of any significant achievements or
195 deficiencies in their performance that may enhance or impede their progress toward higher
196 academic rank or tenure. In evaluating faculty members who have not achieved tenure or
197 promotion to the rank of Professor, the Department Head should take care to relate the faculty
198 member's performance to the promotion criteria and/or to factors affecting tenure. If the faculty
199 member does not agree with the Department Head's written evaluation of his/her performance,
200 he/she may write a separate statement, submitting it within 10 working days, that shall become

201 part of the evaluation report. The official personnel files of the faculty will be kept in the faculty
202 member's respective Dean's offices. These files in the Deans' Offices should include the initial
203 letter of appointment, annual evaluations, faculty statements in response to evaluations, and
204 other documents that are pertinent to the faculty member's position with the University.
205

206 **G. THIRD YEAR REVIEW FOR PROBATIONARY FACULTY**

207

208 Each department shall conduct a third year review of all its probationary faculty members before
209 the end of the sixth semester, excluding summer, following their initial appointment. For faculty
210 who have received credit toward tenure for service at another institution, this review will take
211 place at the end of the second semester excluding summer. The letter of appointment must
212 specify during which semester the third year review shall take place. The Department Head or
213 equivalent will notify the faculty member of the deadlines for third year review. The faculty
214 member will submit a package containing a current vita and any supporting documentation of
215 the candidate's performance in teaching, research, and service.
216

217 The particular focus of this third year review is to evaluate and provide feedback to the faculty
218 member concerning his/her progress toward achieving tenure. The review therefore must
219 address the criteria for tenure set forth in this document. The review shall involve a meeting of
220 the entire tenured faculty of the department to determine whether or not the candidate is making
221 appropriate progress toward tenure. Subsequent to that meeting, each tenured faculty member
222 will submit a letter to the Department Head or equivalent which provides suggestions for faculty
223 development.
224

225 The Department Head or equivalent shall prepare a written report covering the findings of the
226 review. The procedure should be the same as that for annual reviews (the faculty member will
227 receive a written report), and the report is to remain confidential, to the extent permitted by law.
228

229 The contents of the third-year review shall not be submitted with tenure and promotion
230 materials.
231

232 **H. University Committee on Promotion and Tenure (Approved June 17, 2011)**

233 Members of the University Committee on Promotion and Tenure will be selected from the
234 tenured faculty who hold the rank of Associate Professor or Professor. By September 1 of
235 each year, the President of the Faculty Senate shall ask the Dean of each School with a
236 vacancy on the Committee to nominate, after consulting with the faculty in his/her unit, three
237 tenured faculty who hold the rank of Associate Professor, Librarian III, Professor, or Librarian
238 IV. In addition, the Rules Committee shall seek nominations for three at-large faculty members
239 of the University Committee on Promotion and Tenure. Faculty nominated to serve as at-large
240 members must be tenured and hold the rank of Associate Professor, Librarian III, Professor, or
241 Librarian IV.
242

243 Members of the University Committee on Promotion and Tenure cannot serve in any regular
244 administrative position including that of department head/chair at the time of their service on the
245 committee.

246 At the Fall Semester Faculty Council meeting, an election by the faculty shall take place. The
247 Rules Committee shall prepare ballots identifying all nominees from each Academic School and
248 Library and nominees for three at-large faculty members, shall distribute ballots to the faculty,
249 and report the results of the election by the end of the meeting.

250 From the membership of the Committee, the Provost shall select a new chairperson annually.
251 This chairperson shall be chosen from among members who have served at least one year on
252 the committee. This committee shall meet at the call of the Provost to consider applications for
253 promotion and tenure. The faculty appointments will be for three-year terms arranged so that
254 approximately one-third of the faculty are replaced each year.

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

260 All Deans with candidates for promotion or tenure shall present the applications of those
261 candidates and be available to respond to relevant questions at a meeting of the University
262 Committee on Promotion and Tenure.

263 I. CRITERIA AND PROCEDURES FOR PROMOTION

264 Throughout, references to "Department Head" shall refer to Department Chairs or others acting
265 in the capacity of unit heads.

266 **PROMOTION:** Promotion shall be based on demonstrated competence in teaching, research,
267 and service and, in addition, on distinguished performance over a sustained period in teaching,
268 research, or service.

269 **a. Criteria:** The criteria of teaching, research, and service described below shall be considered
270 in the evaluation of the faculty member's performance and achievement. The employment
271 conditions and academic assignment will determine the relative application of the criteria. In
272 addition, each department or school has developed benchmarks for promotion and tenure
273 considerations, and these must be available in written form to all faculty members at the time of
274 their appointment.

275

276 **1. Teaching** - Since the principal reason for the University's existence is the instruction
277 of students, strong teaching skills are valued. Hence, there is a need for systematic
278 review of teaching competence and effort. Such competence may be indicated by the
279 faculty member's:

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

- 282 • Continuing education
- 283 • Participation in professional development opportunities

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

- 287 • contribution to fieldwork
- 288 • evaluation and assessment of curricula
- 289 • development of new distance curricula
- 290 • innovative teaching strategies

291

292 c. Teaching effectiveness, which is in part indicated by appraisals of a candidate's
293 teaching performance by his/her present and former students. Multiple measures
294 should be used for these appraisals. Examples of measures in this area may include:
295

- 296 • Presentation of portfolio of syllabi and test design with revisions according to
297 trends and assessment.
- 298 • Presentation of portfolio of student work
- 299 • Peer evaluation
- 300 • Evaluation of teachers by students, including formal teaching evaluations and
301 written comments that address the candidate's performance
302

303 In addition, consideration should be given to:

- 304 • The candidate's ability to organize material, keep it up to date, and present it
305 with force and logic
- 306 • The ability to awaken in students an awareness of the relationship between the
307 course subject(s) and other fields of knowledge
- 308 • The ability to stimulate students as demonstrated by the scholarly or creative
309 work of a candidate's current or former students
310

311 Other activities to be considered include:

- 312 • Direction of theses, dissertations, independent study courses, and special
313 student projects
- 314 • Involvement in interdisciplinary or Honors courses
- 315 • Publication of a candidate's textbooks, manuals, or lecture notes
- 316 • Adoption of a candidate's textbooks
- 317 • Achievement of honors or other special recognitions as a result of teaching
318 accomplishments are also relevant
319

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

- 322 • Development of new courses or programs
- 323 • Preparation of innovative teaching materials and techniques
- 324 • Effective participation in academic advising.
325

326 **2. Research and Creative Activity** - All University faculty have an obligation to
327 contribute to the body of knowledge and skills in their respective disciplines. Greater
328 requirements for scholarly or creative achievements will be placed on candidates who
329 have been provided reduced instructional loads and/or special resources for research;
330 but all are expected to demonstrate scholarly or creative accomplishments as
331 appropriate.

- 332 a. Research can ordinarily be documented through a candidate's publications.
333 Examples of measures in this area may include:
334 • Books published by commercial and university presses

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- Chapters in books published by commercial and university presses
 - Refereed journal articles
 - Refereed scholarly papers presented at professional meetings
 - Bulletins and reports
 - Pedagogical scholarship
 - Publications 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.

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b. Creative works such as published literature, 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, published or performed on a national or regional basis and which are subject to peer evaluation.

353

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355

c. Documented efforts of the faculty member in obtaining contracts and grants to help support his/her research, shall be positively considered for promotion.

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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.

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364

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. Examples of measures in this area may include:

- 365
- 366
- 367
- 368
- Editing or referring professional publications
 - Organizing professional meetings
 - Serving in an official capacity in a professional organization

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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.

375

376

377

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

- 378
- 379
- 380
- Serving as Faculty Council officers
 - Chairing University committees and task forces
 - Serving on University committees and task forces

381 • Developing and assisting in the coordination of innovative academic
382 programs
383

384 d. School Service - Consideration should be given to a candidate's contribution to
385 the School. Examples may include:

- 386 • Chairing School committees and task forces
- 387 • Serving on School committees and task forces
- 388 • Developing and assisting in the coordination of school-wide academic
389 programs
390

391 e. Department Service - Consideration should be given to a candidate's contribution
392 to the Department. Examples may include:

- 393 • Chairing or serving on Departmental committees and task forces
- 394 • Developing and assisting in the coordination of departmental academic
395 programs/courses
396

397 f. Faculty Consulting - Such recognition serves as validation of expertise.

398

399 **b. Application for Promotion:** Faculty members who believe they have met the criteria for
400 promotion in rank shall submit a letter of request to their respective Department Head by May
401 15. In that letter the candidate may request that review by a qualified external referee be
402 arranged by the Department Head or Dean. The candidate's dossier shall be presented by
403 October 1 to the Department Head who will submit it to the department review committee
404 composed of all faculty holding academic rank higher than that of the candidate for promotion.
405 No administrator in the direct supervisory chain (i.e., who has recommending responsibilities at
406 subsequent steps in the promotion process, such as the candidate's Department Head or Dean,
407 or the Provost) shall be a member of the Department review committee. Other tenure
408 track/tenured faculty holding administrative positions and having a significant and continuing
409 involvement in the instructional or research programs of the department shall be members of
410 the department review committee. In cases where at least three faculty with the appropriate
411 rank are not available in the department, the Dean of the School will establish a committee
412 composed in whole or in part, as necessary, of faculty holding the appropriate rank in other
413 departments. Recommendations about documentation will be specified in annual workshops
414 provided by the Office of the Provost.

415 A committee recommendation and the results of a vote conducted by secret ballot will be
416 forwarded to the Department Head. The committee report will include reasons for the positive
417 or negative recommendation. Additionally, any member of the departmental review committee
418 may submit a letter to the Department Head relating the candidate's ability and performance of
419 the criteria for promotion listed above. The letter will be included in the promotion dossier. The
420 Department Head/Chair will notify the candidate of the Department's and his/her
421 recommendation including a summary of reasons for the positive or negative recommendation
422 by December 1. Candidates may respond in writing within five business days, and any response
423 will become part of his/her dossier that is forwarded to the Dean. If the candidate wants to
424 continue the process, the Department Head will forward all documents and letters, together with

425 his/her evaluation and recommendation for action, to the Dean of the School. If the candidate is
426 a department head/chair, the Dean will notify him or her of the Department's recommendation,
427 and he/she may respond in writing within five working days, and any response will become part
428 of his/her dossier.

429 If the candidate is a Department Head, normal procedures will be followed except that his/her
430 Dean shall ask for participation of all faculty in the department who hold the rank being sought
431 or higher rank; each such faculty member shall submit to the Dean his/her positive or negative
432 recommendation on promotion.

433 The Dean will forward all materials, including his/her letter of recommendation for action, to the
434 Provost. The Dean's letter will include reasons for the positive or negative recommendation. By
435 the date of his or her transmission of positive or negative recommendations to the Provost, the
436 Dean will notify the candidate of his/her recommendation including reasons. Candidates may
437 respond in writing within five business days; this response will become part of his/her dossier
438 that is forwarded to the Provost. If the candidate wants to continue the process, the Dean will
439 forward all documents and letters, together with his/her evaluation and recommendation for
440 action, to the Provost.

441 The Provost shall transmit the materials to the University Committee on Promotion and Tenure.

442 By the date of his or her transmission of positive or negative recommendations to the Provost,
443 the Chairperson of the University Committee on Promotion and Tenure will notify the candidate
444 of the Committee's recommendation. Candidates may respond in writing within five business
445 days; this response will become part of his/her dossier that is forwarded to the Provost. If the
446 candidate wants to continue the process, the Chairperson of the University Committee on
447 Promotion and Tenure will forward all documents and letters, together with the committee's
448 recommendation for action, to the Provost.

449 The Provost recommends to the Chancellor, and the Chancellor is responsible for making
450 recommendations on promotion to the President. By the date of his or her transmission of
451 positive or negative recommendations to the Chancellor, the Provost will notify the candidate of
452 his /her recommendation. Candidates may respond in writing within five business days, and
453 any response will become part of his/her dossier that is forwarded to the Chancellor. .

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

457 At any time during the process prior to their notification on March 15, candidates for promotion
458 and/or tenure may withdraw their applications from consideration.

459

460 **J. CRITERIA AND PROCEDURES FOR TENURE**

461 Auburn University at Montgomery supports and defends the concept of academic tenure, which
462 ensures each faculty member's freedom to criticize and advocate changes in existing theories,
463 beliefs, programs policies and institutions, and guarantees faculty the right to support, without
464 jeopardy, any colleague whose academic freedom is threatened. Moreover, Auburn University
465 at Montgomery (as previously noted in the February 20, 1971, Resolution of the Board of
466 Trustees, revised 1985) subscribes to the following principles of academic freedom and
467 academic tenure as described in the 1940 Statement of Principles of the American Association

468 of University Professors and the Standards of the Southern Association of Colleges and
469 Schools:

470

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

473

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

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

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

483

484 b. Beginning with appointment to the rank of full-time instructor or a higher rank, the
485 probationary period should not exceed seven years, including within this period
486 full-time service in all institutions of higher education; but subject to the proviso
487 that when, after a term of probationary service of more than three years in one or
488 more institutions, a teacher is called to another institution it may be agreed in
489 writing that his new appointment is for a probationary period of not more than
490 four years, even though thereby the person's total probationary period in the
491 academic profession is extended beyond the normal maximum of seven years.
492 Notice should be given at least one year prior to the expiration of the
493 probationary period if the teacher is not to be continued in service after the
494 expiration of that period.

495

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

498

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

512 notification of dismissal whether or not they are continued in their duties at the
513 institution.

514
515 e. Termination of a continuous appointment because of financial exigency should
516 be demonstrably bona fide.
517

518 In addition, each Department or School has developed benchmarks for promotion and tenure
519 considerations, and these must be made available to all faculty members at the time they are
520 hired.

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

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

533 The total length of the probationary period shall not exceed seven years of full-time service,
534 where one year equals two full semesters, excluding summers. Years of full-time Temporary
535 appointment at Auburn University at Montgomery, regardless of rank, count toward tenure
536 eligibility just as do years of full-time Probationary appointment. Time spent away from the
537 University except when the individual is on a special assignment for the benefit of the University
538 and paid by the University shall not be counted toward fulfillment of eligibility for tenure.

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

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

553 Consideration for tenure can take place in the seventh year if the candidate signs a proviso
554 acknowledging termination effective at the end of that year if tenure is not achieved.

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

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

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

571 **4. Factors Affecting Tenure:** Faculty and Department Heads should remember that decisions
572 on tenure are different in kind from those on promotion. As with promotion, the tenure nominee
573 will be evaluated on (1) teaching, (2) research, and (3) service. Other important elements
574 affecting tenure nominations and recommendations are those factors that are directly related to
575 the prospect of the nominee's assuming what may well be an appointment of ten, twenty, or
576 thirty years in the departmental unit. Such considerations may include the nominee's abilities to
577 support the departmental mission and its long-term goals; the nominee's exhibited ability and
578 willingness to engage in the shared tasks that a departmental group must often perform; and the
579 nominee's willingness to participate knowledgeably and reasonably in discussions germane to
580 departmental policies and programs. In addition, each Department or School has developed
581 benchmarks for promotion and tenure considerations, and these must be made available to all
582 faculty members at the time of their appointment.

583 **5. Application for Tenure:** Faculty members who believe they have met the criteria for tenure
584 consideration shall submit a letter of request for tenure consideration to their respective
585 Department Head and Dean before May 15. In that letter the faculty member may request that
586 review by a qualified external referee be arranged by the Department Head or Dean. It is the
587 joint responsibility of the faculty member and the department head to assure that the tenure
588 review process occurs no later than in the sixth-year of full-time service or within three years if
589 credit for previous service at another institution has been given. The candidate's dossier must
590 be presented to the Department Head by October 1. The credentials to be included in the
591 dossier are a current vita and supporting documentation of the candidate's performance in
592 teaching, research, and service. Recommendations about documentation are specified in
593 annual workshops provided by the Office of the Provost.

594 After receiving the application for tenure consideration, the Department Head shall notify
595 tenured members of the departmental faculty of their responsibility to review the candidate's
596 credentials. In cases where there are fewer than three tenured faculty in the department, the
597 Dean of the School will ask for participation of tenured faculty in other departments. The
598 tenured members of the faculty may meet to discuss each applicant's materials; whether
599 tenured faculty meet or not, each will submit to the Department Head (or appropriate Dean if the
600 candidate is a Department Head) a written statement of his/her positive or negative vote on
601 tenure, together with a justification of that vote.

602 No administrator in the direct supervisory chain (i.e., with recommending responsibilities at
603 subsequent steps in the tenure process, such as the candidate's Department Head or Dean, or
604 the Provost) shall be included in the departmental review process. Other eligible faculty holding
605 administrative positions and having a significant and continuing involvement in the instructional
606 or research programs of the department shall participate. These statements and the Department
607 Head's written recommendation on tenure, including reasons for the positive or negative
608 recommendations, will be sent forward with the candidate's resume and supporting material to
609 the appropriate Dean by December 1. Candidates may respond in writing within five business
610 days, and any response will become part of his/her dossier that is forwarded to the Dean. If the
611 candidate wants to continue the process, the Department Head will forward all documents and
612 letters, together with his/her evaluation and recommendation for action, to the Dean of the
613 School.

614 If the candidate is a Department Head/Chair, normal procedures will be followed except that
615 his/her Dean shall ask for participation of all tenured faculty in the department; each tenured
616 faculty member shall submit to the Dean his or her positive or negative recommendation on
617 tenure. The Dean will notify him or her of the Department's recommendation, and he/she may
618 respond in writing within five working days, and any response will become part of his/her dossier
619 that is forwarded to the Provost.

620

621 The Dean will forward all materials, including his/her letter of recommendation for or against
622 tenure, to the Provost. The Dean's letter will include reasons for the positive or negative
623 recommendation. By the date of his or her transmission of positive or negative
624 recommendations to the Provost, the Dean will notify the candidate of his/her recommendation
625 including reasons. Candidates may respond in writing within five business days; this response
626 will become part of his/her dossier that is forwarded to the Provost. If the candidate wants to
627 continue the process, the Dean will forward all documents and letters, together with his/her
628 evaluation and recommendation for action, to the Provost.

629 The Provost shall transmit the materials to the University Committee on Promotion and Tenure.

630 By the date of his or her transmission of positive or negative recommendations to the Provost,
631 the Chairperson of the University Committee on Promotion and Tenure will notify the candidate
632 of the Committee's recommendation. The Committee's letter will include reasons for the
633 positive or negative recommendations. Candidates may respond in writing within five business
634 days; this response will become part of his/her dossier that is forwarded to the Provost. If the
635 candidate wants to continue the process, the Chairperson of the University Committee on
636 Promotion and Tenure will forward all documents and letters, together with the committee's
637 recommendation for action, to the Provost.

638 The Provost recommends to the Chancellor, and the Chancellor is responsible for making
639 recommendations on tenure to the President. By the date of his or her transmission of positive
640 or negative recommendations to the Chancellor, the Provost will notify the candidate of his/her
641 recommendation. Candidates may respond in writing within five business days, and any
642 response will become part of his/her dossier that is forwarded to the Chancellor.

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

646 At any time during the process prior to notification on March 15, candidates for promotion and/or
647 tenure may withdraw their applications from consideration.

648 Tenured faculty members who resign from the University and are later re-employed in a faculty
649 position similar to the one they previously held may have their tenure reinstated on the
650 recommendation of the tenured faculty of the affected Department and on the approval of the
651 Department Head, Dean, Provost, Chancellor, and the President. A tenured faculty member in
652 a department at Auburn University who accepts a faculty appointment on the Auburn University
653 at Montgomery campus may be awarded tenure at the time of appointment only through the
654 usual tenure process.

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

661 **K. POLICIES AND PROCEDURES FOR APPOINTMENT, TENURE, AND PROMOTION OF** 662 **LIBRARIANS WITH FACULTY RANK**

663 **INTRODUCTION**

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

673 **CRITERIA FOR TENURE OF LIBRARY FACULTY**

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

678 **1. Professional Effectiveness**

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

687 **a. Collection Development**

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

693 **b. Bibliographic Control**

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

702 **c. Information Services**

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

711 **d. Library Administration and Management**

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

717 **e. Knowledge of Subject/Academic Achievement**

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

722 **2. Research/Creative Activity**

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

- 731 a. Publication (articles, book reviews, etc.) in professional journals or books
732 b. Editing of published or unpublished works
733 c. Classroom teaching (outside of the library)
734 d. Serving of accreditation teams
735 e. Special projects requiring substantive creative endeavor and awareness of current
736 developments in librarianship or other fields of professional or academic interest
737 f. Consulting
738 g. Participation in grant-supported activities
739 h. Development of scholarly applications of technology, e.g., laboratory devices, computer
740 software packages or programs, videotapes, web page design, etc.
741 i. Unpublished contributions to the profession, e.g., reviews, abstracts, special indexes
742 and bibliographies, guides to using resources, handbooks for training personnel,
743 manuals for departments within the Library
744 j. Publication (literary works, artistic works, etc.) in other periodicals or books
745 k. Papers and other presentations at conferences
746

747 **3. Service**

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

- 751 a. Serving on or chairing Library committees and working on special projects not
752 necessarily related to the librarian's area of specialization.
753 b. Serving on or chairing University committees, working on special projects for the
754 University, or working with faculty and student organizations.
755 c. Active participation in local, state, regional, national, or international professional or
756 scholarly organizations. Pursuits may include:
757 • Holding office.
758 • Serving on committees.
759 • Acting as a discussion leader.
760 • Organizing a conference or workshop.
761 • Other professional activities.
762 d. Membership and participation in local, state, regional, national, or international
763 professional or scholarly organizations.
764 e. Participation in community activities as a private citizen or as a representative of the
765 University and/or Library.
766 f. Honor, awards and special recognitions for service to the institution or the community.
767

768 **FACTORS AFFECTING TENURE OF LIBRARY FACULTY**

769 In addition to the criteria stated above, Librarians should also consult the *Faculty Handbook*,
770 IV-H, Factors Affecting Tenure.

771 **PROCEDURES FOR GRANTING TENURE OF LIBRARY FACULTY**

772 Where there are sufficient tenured library faculty (a minimum of three) to constitute a Tenure
773 Review Committee within the Library, the procedures for granting tenure shall be those set forth

774 in the *Faculty Handbook*. Until such time, the appointment of a Tenure Review committee shall
775 be handled in the manner outlined in Procedures for Promotion of Library Faculty.

776 **LIBRARIAN APPOINTMENT**

777 The Dean of the Library recommends to the Provost the appointment with appropriate rank.

778 **1. Kinds of Appointment of Librarians**

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

781 a. Probationary appointments are assigned to librarians who, because of scholarly or
782 professional achievement, have demonstrated their aptitude for becoming tenured members
783 of the faculty.

784
785 b. Tenured appointments are assigned to librarians who have completed an appropriate
786 probationary period and who, following recommendation and review in accordance with
787 University policy and approval by the President, have been awarded tenure. Only tenured
788 librarians are eligible for professional improvement leave with pay.

789

790 c. Temporary appointments, as the term implies, are assigned to librarians whose services are
791 required only for a certain specified period of time, usually one year or less, which is
792 identified on the appointment paper. Those on Temporary appointments are not eligible for
793 tenure and promotion or for the insurance, medical, retirement, and various fringe benefits
794 available to other librarians unless the employment period is for at least a full year (twelve
795 months).

796

797 **2. Definition of Librarian Academic Ranks**

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

800 **a. Librarian I** (equivalent to instructor)

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

806 **b. Librarian II** (equivalent to Assistant Professor)

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

813 **c. Librarian III** (equivalent to Associate Professor)

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

824 **d. Librarian IV** (equivalent to Professor)

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

833

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

836 **PROMOTION OF LIBRARY FACULTY**

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

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

844 **1. Criteria**

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

847 **a. Professional Effectiveness and Quality of Service within the Library**

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

- 850 • Collection Development.
- 851 • Bibliographic Control.
- 852 • Information Services.
- 853 • Library Administration and Management.
- 854 • Knowledge of Subject/Academic Achievement.

855
856 In addition, librarians will be judged on consistency of performance, grasp of library methods,
857 command of their subjects, continued growth in their fields, judgment, leadership, originality,
858 ability to work effectively with others, and ability to relate their functions to the more general
859 goals of the library and the University.

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

868 **b. Service**

869 A candidate's professional commitment and contribution to the library profession should be
870 evaluated by taking account of such activities as the following: membership and activity in
871 professional and scholarly organizations; participation in library and other professional meetings
872 and conferences; consulting or similar service; outstanding achievement or promise as
873 evidenced by awards, fellowships, grants; teaching and lecturing; and editorial activity.

874

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

879 **c. Research/Creative Activity**

880 Research by practicing librarians has a growing importance as library, bibliographical, and
881 information management activities become more demanding and complex. It is; therefore,
882 appropriate to take it into account in measuring a librarian's professional development.
883 Examples of research/creative activity may be found under Section K, 2, a-k in this document.

884 **PROCEDURES FOR PROMOTION OF LIBRARY FACULTY**

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

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

894

895 **L. APPEALS PROCEDURES FOR PROMOTION AND TENURE DECISIONS**

896
897 Grounds for appeal of a promotion or tenure decision exist when the candidate believes that:

- 898
899 • He/she can provide new evidence, not previously available, in support of tenure or
900 promotion.
901 • There have been significant factual inaccuracies in the Chancellor's letter of denial.
902 • Significant procedural irregularities in annual performance reviews have occurred, including
903 failure by the Department Head to conduct annual performance reviews.
904 • Tenure or promotion procedures of the Department, School, or University were not properly
905 followed.

906
907 A faculty member who has been denied either promotion or tenure may choose to discuss the
908 reasons for the denial and the appeal process with the Provost and the Chancellor. If a faculty
909 member chooses to appeal the denial, that intention should be expressed in writing to the
910 Chancellor within 30 days of the notification of the negative decision and should be
911 accompanied by all supporting evidence. The Chancellor shall respond to the faculty member's
912 request for an appeal by appointing an appeals committee within fifteen days of receipt of the
913 request.

914
915 The Appeals Committee shall consist of the Provost (non-voting chairperson), an academic
916 Dean (other than the appellant's), and four members of the tenured faculty appointed by the
917 Chancellor from eight names submitted by the Faculty Senate. This committee shall make its
918 recommendation to the Chancellor within fifteen days of being notified by the Chancellor of the
919 creation of the committee.

920
921 **M. POST-TENURE REVIEW**

922
923 Post-Tenure Review shall be conducted by the Post-Tenure Review Committee, a standing
924 committee of the Faculty Senate. This is a special committee appointed by the Chancellor from
925 nominees provided by the Rules Committee of the Faculty Senate. The committee shall review
926 dossiers of faculty participating in the University's Post-Tenure Review procedure and advise
927 the Provost. The committee consists of nine tenured faculty with at least one representative
928 from each school including the library.

929
930 **N. NONCONTINUATION OF APPOINTMENT**

931
932
933 The provisions for notice of noncontinuation described in this section apply only to full-time
934 faculty members on probationary appointment. The provisions are not applicable to
935 terminations for cause or where a termination is specified in the appointment instrument.

936
937 Notice of noncontinuation or of nonreappointment is to be given in writing to full-time faculty
938 members on Probationary appointment in accordance with the following schedule:

- 939
940 • By March 1 of the first academic year of service.
941 • By December 1 of the second academic year of service.
942 • At least twelve months before the expiration of an appointment for persons with two or more
943 years of service at Auburn University Montgomery. In the event that a tenure review in the
944 sixth year of service results in denial of tenure, the faculty member will be given notice in

945 writing of noncontinuation at least twelve months before the expiration of the appointment,
946 and no tenure review, except that undertaken in response to an appeal, will be conducted in
947 the seventh year of service.

948
949 If shorter notice is necessary because of major enrollment shifts, program changes, or budget
950 stringency, the affected faculty member shall be informed as soon as possible and every effort
951 shall be made to find another appropriate position in the University. It is anticipated that
952 analyses of enrollment and decisions about moving of positions to meet changing enrollment
953 pressures can be made each fall in time for affected faculty members to be notified by
954 November 15.

955
956 **O. DISMISSAL**

957
958 Termination of a tenured appointment shall be carried out by the University only for just cause
959 and according to the procedures set forth in this statement. Just cause for dismissal of a
960 tenured appointment shall be related, directly and substantially, to the fitness of faculty
961 members to continue in their professional capacities as teachers, researchers, and/or service
962 specialists. Rights of due process, as described in this statement, shall also apply to a
963 nontenured faculty member dismissed before completion of his/her appointment. Just cause for
964 dismissal of a tenured appointment may result from actions of misconduct or may be directly
965 related to the academic and/or administrative performance of a faculty member as described in
966 this statement.

967
968 Just Cause Resulting from Misconduct

969
970 Dismissal of a faculty member for just cause resulting from misconduct includes, but is not
971 limited to, actions that bear a significant relationship to fitness to continue to serve as a faculty
972 member, such as:

- 973
974 1. Conviction or admission of guilt in a court proceeding of a felony or of a crime involving moral
975 turpitude during the period of employment, or prior thereto if the conviction or admission of guilt
976 was willfully concealed;
- 977 2. Conviction or admission of guilt in a court proceeding of a felony drug offense including, but
978 not limited to: unlawful manufacture, distribution, sale, use or possession of a controlled
979 substance or other illegal or dangerous drugs as defined by Alabama Law;
- 980
981 3. Intentional false swearing on official documents filed with the institution;
- 982
983 4. Repeated convictions or admission of guilt in court proceedings of substantive
984 misdemeanors;
- 985
986 5. Significant or repeated violations of substantive University policy, rules or regulations, other
987 than violations of professional ethics.

988
989 Just Cause Resulting from Performance

990
991 Dismissal of a faculty member for just cause resulting from academic and/or administrative
992 performance includes, but is not limited to, actions that bear a significant relationship to fitness
993 to continue to serve as a faculty member, such as:

994

- 995 1. Serious or substantial violation of professional ethics in administrative, teaching, research, or
996 service activities;
997
998 2. Demonstrated incompetence in teaching, research, and service activities;
999
1000 3. Serious or substantial neglect of professional or academic responsibilities.

1001
1002
1003

Preliminary Proceedings

1004

1005 Dismissal proceedings against a faculty member shall be initiated by the Provost. The
1006 Provost will request that an informal inquiry into the substantiality of cause for dismissal be
1007 made by a faculty inquiry committee and will advise the faculty member of such action. The
1008 Faculty Inquiry Committee will be composed of:

1009

1010 1. The Immediate Past Chair of the University Faculty Senate unless the faculty member
1011 involved is in the same school, in which case the past chair immediately preceding that person
1012 shall serve instead; and

1013

1014 2. The most senior current member (in terms of years of service at Auburn University at
1015 Montgomery) of the University Post-Tenure Review Committee unless the faculty member
1016 involved is in the same school, in which case the second most senior member of the committee
1017 shall serve instead; and

1018

1019 3. The most senior immediate past member of the University Promotion and Tenure Committee
1020 unless the faculty member involved is in the same school, in which case the second most senior
1021 immediate past member of the committee shall serve instead.

1022

1023
1024 Throughout this procedure the phrase 'working day' shall refer to any day except Saturday,
1025 Sundays and recognized University Holidays.

1026

1027 The Inquiry Committee will review the reasons for dismissal submitted, their strength and
1028 validity, and will recommend to the Provost whether or not formal dismissal proceedings should
1029 be instituted. The Inquiry Committee shall not seek to make a determination of guilt or to
1030 predetermine the likelihood of a subsequent recommendation for dismissal to be made later.
1031 The faculty member who is the subject of the inquiry shall be given an opportunity to respond to
1032 the reasons submitted to the Inquiry Committee and to present evidence in rebuttal to the
1033 charges presented to the Inquiry Committee. The Inquiry Committee will elect its own chair and
1034 its business will be conducted in confidence. The Faculty Inquiry Committee's report to the
1035 Provost will be made within twenty (20) working days after the committee is appointed.

1036

1037 If the Provost decides to proceed with the dismissal process, formal termination proceedings will
1038 be commenced by a written communication addressed to the faculty member by the Provost.
1039 This letter will contain the following information:

1040

- 1041 • A statement with reasonable particularity of the grounds proposed for dismissal of the
1042 faculty member.
- 1043 • Information that the faculty member has a right to be present at a hearing before an
1044 impartial faculty committee.

- 1045 • A copy of this statement of procedures.
1046

1047 If the faculty member intends to participate in the hearing, his/her written request must be
1048 delivered to the Provost within ten (10) working days of receipt of the Provost's letter. The
1049 faculty member will be given written notice of the place and time of the hearing, which shall be
1050 no less than twenty (20) working days from the date of the notice of a hearing. The notice shall
1051 also contain the names of known witnesses and the general nature of expected available
1052 evidence. The faculty member wishing to participate in the hearing will deliver any response
1053 he/she wishes to make to the proposed grounds for dismissal, the names of known witnesses,
1054 and the general nature of expected available evidence to the Provost within fifteen (15) working
1055 days of the date of notice of hearing. The names of any witnesses and/or the general nature of
1056 any evidence discovered after these responses are made will be delivered in writing to the other
1057 party promptly.
1058
1059

1060 **Hearing Committee** 1061

1062 The Hearing Committee shall be composed of five (5) faculty members. To constitute a
1063 committee, the Provost shall request the Faculty Senate to submit within ten (10) working days
1064 from the date of Provost's request a list containing the names of ten (10) tenured faculty
1065 members without administrative status above the level of Department Head who have no
1066 personal involvement in the case to be heard or other just reason to be excused. The following
1067 shall pertain in the selection of the five members of the Hearing Committee:
1068

1069 a. If the faculty member intends to participate in the hearing, the faculty member and the
1070 University administration may strike up to two names each from the list without stated
1071 cause. The strikes will be in alternate order, with the faculty member allowed the first.
1072 Whatever further reduction is necessary to arrive at five (5) will be accomplished by lot.
1073 Of those persons not included on the list of five, one will, as determined by lot, if
1074 necessary, serve as an alternate. However, no person whose name has been struck by
1075 either party will be allowed to serve as an alternate.
1076

1077 The alternate to the Hearing Committee shall observe, but not participate in, all
1078 proceedings through the formal hearing; but unless the alternate has replaced a sitting
1079 member of the Hearing Committee, the alternate shall neither vote on any matter before
1080 the Hearing Committee nor participate in the post-hearing deliberations of the
1081 committee.
1082

1083 b. If the faculty member does not intend to participate in the hearing, the members of
1084 the Faculty Inquiry Committee will appoint the five (5) members of the Hearing
1085 Committee plus one alternate.
1086

1087 The Hearing Committee, by simple majority vote, elects its own chair.
1088

1089 **Procedure** 1090

1091 a. If the faculty member has not requested to participate in the a hearing, the committee
1092 shall meet and consider the case on the basis of available information and submit its
1093 findings to the Provost with a recommendation for or against dismissal.
1094

1095 b. When the faculty member has requested to participate in the ~~a~~-hearing, the committee
1096 shall proceed by considering the statement of grounds for dismissal already formulated,
1097 any written answers submitted by the faculty member before the time of the hearing, and
1098 evidence received at the hearing.

1099
1100 The committee hearing shall be governed by the following rules and regulations:

- 1101
- 1102 • All proceedings will be private and closed to all persons save those officially
1103 involved.
- 1104
- 1105 • The Provost will direct the presentation of reasons for discharge by such
1106 representatives as he/she may select.
- 1107
- 1108 • The faculty member has the right to be accompanied and represented by counsel,
1109 employed by the faculty member, and an academic advisor. However, if counsel is
1110 present, counsel may not participate in the hearing other than through providing legal
1111 advice to the client.
- 1112
- 1113 • A verbatim record of all proceedings will be taken and a copy made available to the
1114 faculty member if requested.
- 1115
- 1116 • The Hearing Committee will not be bound by strict rules of legal evidence; however,
1117 it will make every effort to obtain the most complete and reliable evidence available
1118 that bears upon the charges. Determination concerning consideration of evidence
1119 will be made by the Chair.
- 1120
- 1121 • The Hearing Committee will grant adjournments to either party to enable
1122 investigation of evidence to which a valid claim of surprise is made.
- 1123
- 1124 • The faculty member will be afforded a reasonable opportunity to obtain necessary
1125 witnesses and documentary evidence, and the administration of the University will
1126 cooperate with the Hearing Committee in securing witnesses and making available
1127 pertinent documentary and other evidence.
- 1128
- 1129 • The faculty member and the administration will have the right, within reasonable
1130 limits, to confront and examine all witnesses and to present oral and/or written
1131 argument to the Hearing Committee.
- 1132
- 1133 • Where a witness cannot or will not appear, but the interests of justice require
1134 admission of written statements, the committee shall identify the witnesses, disclose
1135 the statement, and if possible, provide for interrogation.
- 1136
- 1137 • The burden of proof that adequate cause exists rests with the University and will be
1138 satisfied by clear and convincing evidence in the record considered as a whole.
- 1139
- 1140 • Public statements and publicity about the case by either the faculty member or the
1141 University administration should be avoided.
- 1142
- 1143 • By majority vote, the Hearing Committee will decide all procedural matters not
1144 covered by this statement of procedures.

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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 Provost 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 Provost 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. The Provost shall forward the Hearing Committee's recommendation for or against dismissal, any minority report and his/her recommendation to the Chancellor within five (5) working days after receipt from the Hearing Committee.

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 President. The Chancellor on receipt of the appeal will transmit to the President of Auburn University, the record of the case. The President's decision will be final. If no such request for an appeal 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 the Chancellor's decision to the President within five (5) working days of the date of notice of the Chancellor's action. Procedures noted above will be followed.

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

If the Hearing Committee concludes that adequate cause for dismissal has been established, and the Chancellor does not sustain this recommendation, he/she will state his/her reasons, in writing, to the Committee and to the faculty member. The decision of the Chancellor will be final.

Right to Council

1195 In this procedure each party involved in the hearing may be accompanied by another person of
1196 its choosing. The opposing party shall be given prior notification of the decision to bring such a
1197 representative at least fifteen calendar days prior to the hearing in order to have a
1198 representative present if desired. However, if counsels or advisors are present, neither counsel
1199 nor other representative may participate in the hearing other than through providing advice to
1200 their clients.

1201
1202 **Termination**

1203
1204 A tenured faculty member dismissed as a result of misconduct or as a result of performance is
1205 not entitled to further notice of termination.

1206
1207 **Suspension Pending the Outcome of the Dismissal Process**

1208
1209 **Suspension With Pay**

1210
1211 Suspension of the faculty member with pay prior to or during the dismissal proceedings, is
1212 justified only if immediate harm is threatened by the continuance of the faculty member. A
1213 primary concern in suspension is the effect of the alleged offense upon the well being of the
1214 faculty, students, and the University. Suspension under these circumstances will be the
1215 decision of the Provost. In such cases, salary will be continued during the period of suspension
1216 until the conclusion of the normal dismissal process or until the faculty member pleads guilty to,
1217 or is convicted of, a felony or other serious crime.

1218
1219 **Suspension Without Pay**

1220
1221 Suspension of the faculty member without pay will be the decision of the Provost in cases where
1222 a faculty member pleads guilty to, or is convicted of, a felony or other serious crime. The action
1223 of suspension without pay shall be taken pending the outcome of the normal dismissal process
1224 and will only take place after completion of the following procedure:

- 1225
1226 1. The faculty member will be provided notice of the charges and the basis of those charges;
1227
1228 2. The faculty member will be provided an explanation of the evidence;
1229
1230 3. The faculty member will be provided an opportunity to refute the charges in an informal
1231 meeting with the Provost.

1232
1233 **P. Termination Because of Financial Exigency**

1234
1235 In the event that financial stress poses a threat to University programs or continuation of faculty
1236 employment, the nature and extent of the situation shall be demonstrated to faculty by
1237 appropriate documentation. An explanatory statement shall be issued by the Chancellor, after
1238 consultation with the leadership of the Faculty Senate, to the University faculty concerning the
1239 financial condition of the University and the relation of that condition to all units and programs.
1240 Faculty and administrators shall then be involved in formulating plans which could result in
1241 discontinuation of programs and/or dismissal of personnel. A review process that includes the
1242 considerations noted below shall be implemented to guarantee the right of due process to those
1243 affected. If the administration issues notice to a faculty member of an intention to terminate his
1244 or her appointment because of financial exigency, the faculty member shall have the right to a
1245 full hearing before a faculty committee. The hearing need not conform in all respects to one

1246 conducted by the faculty dismissal Hearing Committee, but the essentials of an on-the-record
1247 adjudicative hearing shall be observed. The issues in this hearing may include:

1248
1249 1. The existence and extent of the condition of financial exigency. The burden of proof shall rest
1250 on the University.

1251
1252 2. The validity of the educational judgments and the criteria for identification for termination.
1253 The recommendation of a faculty body on these matters shall be considered valid.

1254
1255 3. Whether the criteria are being properly applied in the individual case.

1256
1257 If the university terminates appointments because of financial exigency, it shall not make new
1258 appointments at the same time except in extraordinary circumstances where a serious distortion
1259 in the University's teaching, research, or outreach program would otherwise result. The
1260 appointment of a faculty member with tenure shall not be terminated in favor of retaining a
1261 faculty member without tenure.

1262
1263 Before terminating an appointment because of financial exigency, the University, with faculty
1264 participation, shall make every effort to place the faculty member concerned in another suitable
1265 position within the University.

1266
1267 In all cases of termination of appointment because of financial exigency, the place of the faculty
1268 member concerned shall not be filled by a replacement within a period of three years unless the
1269 released faculty member has been offered a reinstatement.

1270
1271 **Q. APPOINTMENT AND TENURE OF MORE THAN ONE MEMBER OF THE SAME FAMILY**

1272
1273 Members of the same family may be appointed to the faculty of Auburn University Montgomery
1274 except that they are not to be in positions where one exercises direct administrative supervision
1275 over the other. Members of the same family may be given Probationary appointments and thus
1276 be eligible for tenure in keeping with university criteria.

1277
1278
1279 **R. Professional Improvement Leave of Absence**

1280
1281 1. **Definition.** A professional improvement leave (PIL) is a leave of absence to permit a
1282 tenured faculty member to undertake approved activities that will result in the faculty
1283 member's rendering more effective professional services to the University upon his/her
1284 return.

1285
1286 PIL recipients are responsible for making arrangements to include providing alternates
1287 for committee or service obligations to ensure completion of their stated objectives.

1288
1289 2. **Requirements.** One semester at full salary or two semesters at half salary may be
1290 granted after 5 years of full-time service. No faculty member is eligible for a second such
1291 leave until at least five years have elapsed since the completion of the previous leave.

1292
1293 3. **Length of Leave.** Leave may not extend beyond two semesters, whether on full or half
1294 salary.

1295

1296 Leave without pay may be approved for a maximum of one year and generally may not
1297 be extended for more than one additional year.

1298
1299 4. **Compensation.** Compensation for one semester will be at full salary or two semesters
1300 at half salary.

1301
1302 a. Faculty member on leave with partial compensation may receive fellowship
1303 support or part-time teaching or research appointments which do not interfere
1304 with their programs provided that in no instance is the compensation for the
1305 period of the leave to be greater than the University salary would have been
1306 during that period.

1307
1308 b. Leave without pay may be granted for appropriate professional improvement.
1309 Faculty members on leave without pay have no formal obligations to return to
1310 Auburn University Montgomery, but are expected to give adequate notice
1311 (generally at least six months) if they decide not to return. On formal request by
1312 the faculty member, the University will continue his/her group life insurance and
1313 hospital/medical insurance programs, making the institution's regular
1314 contributions. If the faculty member does not return to Auburn University
1315 Montgomery for at least one academic year after such leave, he/she is obligated
1316 to reimburse the University for its contributions to his/her insurance programs.

1317
1318 5. **Request Procedure.** The application must be accompanied by a proposed project that
1319 includes reasonable promise of contributing to the improvement of the applicant's
1320 professional services to Auburn Montgomery. Ten copies of the application and vita
1321 must be submitted through the Department Head and Dean to the Provost by November
1322 1 proceeding the academic year in which the proposed leave would begin.

1323
1324 If the leave request is approved by the Department Head, he/she must provide a
1325 statement describing how the faculty member's duties will be performed during the
1326 leave. If the leave request is denied by the Department Head he/she must provide
1327 reasons for not recommending the leave request.

1328
1329 The Dean must sign the request form after the Department Head has reached a decision
1330 as to whether the applicant will or will not be granted approval for professional
1331 improvement leave.

1332
1333 The Provost forwards the applications to the Academic Affairs Council for review and
1334 recommendation to him/her and makes a recommendation to the Chancellor.

1335
1336 6. **Academic Affairs Council.** This committee will evaluate all requests and recommend
1337 to the Provost those applicants whose proposed programs have sufficient long-range
1338 benefit to the University to warrant consideration.

1339
1340 The Academic Affairs Council will meet and make a decision regarding the applications
1341 by December 1.

1342
1343 The Academic Affairs Council shall rank the requests in priority order for presentation to
1344 the Provost.

1345

- 1346 7. **Disposition of Leave Request.** The Provost shall inform each applicant, the University
1347 Chancellor, the Dean, and the Department Head in writing regarding the disposition of
1348 the leave request by the January 15.
1349
- 1350 8. **Professional Improvement Leave Report.** Employees granted a professional
1351 improvement leave are to submit a written report describing the professional growth that
1352 occurred during the leave. This report must be submitted no later than eight weeks
1353 following the return to service. The report must be a minimum of 2 double spaced pages.
1354 The report is to be submitted to the Provost with copies provided to the Department
1355 Head and Dean.
1356

1357 **Timeline for Professional Improvement Leave:**
1358

- 1359 November 1 - Application and vita submitted through the Department Head and Dean to the
1360 Provost by November 1 preceding the academic year in which the proposed
1361 leave would begin
1362 December 1 - The Academic Affairs Council will meet and make a decision regarding the
1363 applications by December 1.
1364 January 15 - The Provost shall inform each applicant, the University Chancellor, the Dean, and
1365 the Department Head in writing regarding the disposition of the leave request by
1366 the January 15.
1367
1368

1369 **S. FACULTY GRIEVANCE PROCEDURE**
1370

1371 This procedure provides members of the Faculty Council a means of presenting
1372 grievances (as defined in this section of the Faculty Handbook) to other members of the
1373 Faculty Council for evaluation and for recommendation to the Chancellor. See details in
1374 Article IV of the Faculty Council Constitution.
1375

1376 **DEFINITION OF A GRIEVANCE**
1377

1378 A grievance is a complaint of alleged

- 1379 • Violation of academic freedom;
- 1380 • Failure to follow officially approved policies and procedures in matters concerning
1381 nonrenewal of appointments or concerning nomination or review for tenure or
1382 promotion;
- 1383 • Administrative mishandling in such matters as performance evaluation,
1384 departmental assignments, or other working conditions; or
- 1385 • Improper or unethical activities such as, but not limited to, failure to honor
1386 commitments, harassment, or discrimination.
1387

1388 A complaint may be filed by one or more faculty members affected. It may be directed
1389 against the action of one or more administrators or any member of the Faculty Council.
1390

1391 **FACULTY GRIEVANCE COMMITTEE**
1392

1393 **1. Composition and Election of Members**

1394

1395 The Faculty Grievance Committee shall be composed of one member from each school
1396 and one member from the Library. The election of the members of the Faculty
1397 Grievance Committee shall be conducted in the Faculty Senate, following procedures
1398 approved by the Faculty Senate. To be eligible for election to the Faculty Grievance
1399 Committee, an individual must be a member of the Faculty Council and must have been
1400 a member of that organization for at least two years. In addition, the individual must
1401 hold a tenured appointment at AUM.

1402

1403 Elections to the Faculty Grievance Committee shall occur before the end of classes in
1404 the Spring Semester of each academic year. Candidates must receive a majority of the
1405 votes cast to be elected to the Faculty Grievance Committee. If vacancies occur on the
1406 committee, the Faculty Senate shall be responsible for calling an election within thirty
1407 calendar days. All members shall serve three-year terms that will begin on September
1408 1. The terms shall be staggered to ensure that approximately one-third of the
1409 membership is elected annually.

1410

1411 **2. Meetings of the Faculty Grievance Committee**

1412

1413 **a. Election of Chair**

1414

1415 By September 15 of each year, the President of the Faculty Council shall
1416 convene the Faculty Grievance Committee for the purpose of electing a chair
1417 from its membership. The term of the Chair shall begin at the time of election
1418 and shall run until August 31 of the following calendar year. If the person elected
1419 to this position vacates the position before the end of the term, the President of
1420 the Faculty Council shall convene the Faculty Grievance Committee within
1421 twenty calendar days to elect a replacement.

1422

1423 **b. Selection of Hearing Panel**

1424

1425 By October 15, the Faculty Grievance Committee shall select a Hearing Panel.
1426 The membership of the Hearing Panel should be chosen in such a way as to
1427 reflect the number of elected representatives from the academic schools and
1428 library on the Faculty Senate. Membership on the Hearing Panel shall be limited
1429 to those members of the Faculty Council who have been members of that
1430 organization for at least two years and who hold tenured positions at AUM.
1431 Before including an individual on the Hearing Panel, the Faculty Grievance
1432 Committee shall consult with that individual and secure the individual's
1433 agreement to serve on the Hearing Panel. The names of the members of the
1434 Hearing Panel shall be arranged in random order for the purpose of selecting
1435 members of hearing committees, according to procedures outlined in Grievance
1436 Procedures 2c.

1437

1438 **c. Other Meetings**

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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.
- Scheduled storage of records in University Archives and purging of same.

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.

1485 If feasible, the complaint should also be discussed with the person's immediate
1486 superior before the complaint is brought to the Faculty Grievance Committee. A
1487 faculty member who alleges officially approved policies and procedures concerning
1488 nomination or review for tenure or promotion were not properly followed must
1489 complete the process for appeal in the tenure or promotion procedure before filing a
1490 complaint with the faculty Grievance Committee.

1491 To file a complaint with the Faculty Grievance Committee a member of the Faculty
1492 Council must provide a written statement of the complaint to the Chair within six
1493 months of the date by which the complainant could reasonably have become aware
1494 of the occurrence giving rise to the complaint. A complaint alleging that officially
1495 approved policies and procedures concerning nonrenewal of appointment or
1496 concerning nomination for tenure or promotion were not followed must be filed within
1497 six months of the date the faculty member is notified of the decision resulting from
1498 the appeals procedure. The written statement of the complaint must contain:

- 1499
- 1500 • The date of the complaint.
 - 1501
 - 1502 • The name(s) of the person(s) filing the complaint.
 - 1503
 - 1504 • The name(s) of the administrators and/or Faculty Council member(s)
 - 1505 against whom the complaint is filed.
 - 1506
 - 1507 • The nature of the complaint in relation to section, Definition of a
 - 1508 grievance, of this procedure.
 - 1509

1510 The date of the occurrence giving rise to the complaint. (In a complaint
1511 alleging that officially approved policies and procedures concerning
1512 nonrenewable of appointment or concerning nomination or review for
1513 tenure or promotion were not properly followed, this date shall be the date
1514 on which notification of the results of the appeals procedure was
1515 received.)

- 1516 • A brief account of the events leading to the complaint,
- 1517
- 1518 • A description of the efforts taken to resolve the complaint, and
- 1519
- 1520 • A statement of the action sought to redress the complaint.
- 1521

1522 **2. Response by the Faculty Grievance Committee to a Complaint**

1523 **a. Authentication**

1524 Within fourteen calendar days of receiving the complaint, the Chair shall convene
1525 a meeting of the Faculty Grievance Committee to decide the following:

- 1526 • Does the complaint constitute a grievance?
- 1527
- 1528 • Have reasonable attempts been made to resolve the complaint?
- 1529
- 1530

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- Does the complaint contain all of the information requested in the grievance procedures?
 - Is the complaint directed towards persons subject to the Faculty Grievance Procedure?
 - Has the complaint been submitted within the specified period of time?
 - Is the complaint adequately substantiated so as to merit a formal hearing?
- 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.

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If dismissed, a letter of recommendation shall follow within seven calendar days to person(s) filing the grievance.

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b. Dismissal

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If the response to any of the questions to be answered in the authentication process is no, the Faculty Grievance Committee shall dismiss the complaint. If the complaint is dismissed, the Faculty Grievance Committee shall report its action in writing, with reasons for the dismissal. If dismissed, a letter of recommendation shall follow within seven calendar days to person(s) filing the grievance.

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c. Referral to a Formal Hearing

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The Faculty Grievance Committee shall refer a complaint to a formal hearing if no ground for dismissal, as described in the preceding section is found.

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The Chair of the Faculty Grievance Committee shall poll, in order, by school, 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 ten calendar 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.

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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 for subsequent panels.

1576 The Chair of the Faculty Grievance Committee shall serve the Hearing
1577 Committee as an aid on procedural matters. A University secretary designated
1578 by the Chair of the Hearing Committee may be asked to assist the Committee in
1579 its clerical functions.
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1581 **3. Hearing Committee Responsibilities and Procedures** 1582

1583 The Chair of the Hearing Committee shall call meetings of that committee, and these
1584 meetings shall be private. The Hearing Committee shall determine by majority vote the
1585 procedures to be followed at the hearing and procedures to be followed prior to the
1586 hearing. Within twenty-one calendar days of receipt of the grievance, the Chair of the
1587 Hearing Committee shall supply a written statement of these procedures to each party
1588 to the grievance and shall notify them of the date of the hearing. This hearing date shall
1589 be no later than thirty calendar days after such notification. Personal contact concerning
1590 the grievance between the Chair of the Hearing Committee and participants in the
1591 hearing prior to the hearing shall be limited to procedural matters only. There shall be
1592 no contact between the participants and other members of the Hearing Committee
1593 during this time.
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1595 There shall be no formal rules of evidence, but the party who filed the grievance must
1596 present substantive evidence to support the complaint. Each party to the grievance
1597 may present its own witnesses, and if it so desires, the Hearing Committee may also
1598 call witnesses of its own. A list of witnesses to be heard shall be served upon all parties
1599 to the grievance and to the Chair of the Hearing Committee at least seven calendar
1600 days prior to the hearing. The list of witnesses chosen by the Hearing Committee shall
1601 be served upon the parties at least two work days prior to the hearing. The presence of
1602 a witness at the hearing is the responsibility of the party calling the witness. University
1603 employees shall be excused from their normal duties to participate in the hearing. Each
1604 witness may be questioned by the parties to the grievance and by members of the
1605 Hearing Committee in accordance with established procedures. The Hearing
1606 Committee shall have access to all information from University sources which it
1607 considers necessary to reach a decision in the case unless it is determined by the
1608 Chancellor that the information sought is confidential and not subject to release. Tenure
1609 and promotion records and records specified in the Family Educational and Privacy Act
1610 shall be considered as confidential and not subject to release. Questions of procedure
1611 shall be resolved by the Chair of the Hearing Committee; a ruling of the Chair may be
1612 overruled by majority vote of the Hearing Committee.
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1614 The proceedings of the hearing shall be recorded on audio tape by the Chair of the
1615 Faculty Grievance Committee. This tape shall be kept in the confidential files of the
1616 Faculty Grievance Committee as outlined in the section MAINTENANCE AND
1617 DESTRUCTION OF RECORDS. All participants in the hearing shall keep matters of
1618 the grievance confidential.
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1620 Alternates to the Hearing committee shall observe, but not participate in, all proceedings
1621 through the formal hearing; but unless an alternate has replaced a member of the

1622 Hearing Committee, the alternate shall neither vote on any matter before the Hearing
1623 Committee nor participate in the post hearing deliberations of the Committee.

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1625 **4. Recommendations to the Chancellor and Disposition**

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1627 The decision of the Hearing Committee shall be based exclusively on evidence
1628 presented at the hearing. A decision in favor of the grievant shall require a
1629 preponderance of evidence to support the grievance. In other words, there must be a
1630 greater weight of evidence in support of the grievance than there is against it. A
1631 majority vote of the committee shall determine its decision.

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1633 Within fifteen calendar days of the hearing, the Chair of the Hearing Committee shall
1634 submit the written recommendations of the Committee to the Chancellor, with copies
1635 sent to all parties to the grievance and to the Chair of the Faculty Grievance Committee.
1636 By mutual agreement of the Faculty Grievance committee and the Chair of the Hearing
1637 committee the deadline for this report may be extended an additional fifteen calendar
1638 days after notice of the same is served upon the parties to the grievance.

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1640 Within thirty calendar days of the receipt of the recommendations of the Hearing
1641 Committee, the Chancellor, giving due weight to these recommendations, shall render a
1642 decision and so notify in writing all parties to the grievance, the Chair of the Hearing
1643 Committee, and the Chair of the Faculty Grievance Committee. In unusual instances in
1644 which a decision cannot be reached within thirty calendar days, the Chancellor shall
1645 give written notification to the persons noted above and indicate a date on which a
1646 decision can be expected. If the decision of the Chancellor is inconsistent with the
1647 recommendations of the Hearing Committee, the Chancellor shall provide reasons for
1648 the decision. The decision of the Chancellor is final.

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RIGHT TO COUNSEL

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1652 In this procedure each party involved in the hearing may be accompanied by another
1653 person of its choosing. The opposing party shall be given prior notification of the
1654 decision to bring such a representative at least fifteen calendar days prior to the hearing
1655 in order to have a representative present if desired. However, if counsels or advisors
1656 are present, neither counsel nor other representative may participate in the hearing
1657 other than through providing advice to their clients.

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WITHDRAWAL OF COMPLAINT

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1661 The member(s) of the Faculty Council who filed the complaint may withdraw the
1662 complaint at any time. Such withdrawal shall be without prejudice.

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INTERPRETATION OF THIS PROCEDURE

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1666 The Faculty Grievance Committee shall have the final authority to interpret this
1667 procedure except where this procedure places such authority on the Hearing
1668 Committee.

1670 **MAINTENANCE AND DESTRUCTION OF RECORDS**

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1672 All tapes, exhibits, documents, and records pertinent to a hearing shall become a part of
1673 the confidential files of the Faculty Grievance Committee. By August 31 of each year,
1674 the Committee Chair shall submit all confidential records from the preceding year to the
1675 University Archivist. The Archivist will be responsible for maintaining the records, with
1676 restricted access, in the University Archives. A signin/signout log shall be maintained
1677 by the Archivist. The records shall be retained for a minimum of three years after action
1678 is taken on the case(s) (in accordance with the AUM General Records Schedule), or
1679 after settlement of all claims due.

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1681 By August 31 of each year, the Committee Chair will purge, in the presence of the
1682 University Archivist, all documents that have been retained for the required period of
1683 time. All records will be shredded and both the Committee Chair and the University
1684 Archivist shall sign and date a record of the actions taken.

1685 **REPRISALS**

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1688 No reprisal is to be brought against any person for participating in any way under this
1689 procedure. Such reprisal would be grounds for instituting another grievance.

1690 **PROCEDURAL REVIEW**

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1693 Every three years the Faculty Senate shall appoint an ad hoc committee to review the
1694 Faculty Grievance Procedure and to make recommendations of any changes that are
1695 needed.