



AUBURN UNIVERSITY  
OFFICE OF THE PRESIDENT  
November 5, 2012

**MEMORANDUM TO:** Board of Trustees

**SUBJECT:** November 16, 2012 Meeting

Enclosed are materials that comprise the proposed agenda for the November 16, 2012 meeting of the Board of Trustees. Listed below is the tentative schedule; times and locations that are subject to adjustment, depending on length of individual meetings.

Friday, November 16, 2012 (Ballroom B, AU Hotel)

9:30 a.m. Property and Facilities Committee  
10:00 a.m. Finance Committee  
10:15 a.m. Advancement Committee  
10:30 a.m. Academic Affairs and AUM Joint Committee Meeting  
10:45 a.m. Executive Committee  
11:00 a.m. Regular Meeting of the Board of Trustees  
(Proposed Executive Session – Meeting Room A, AU Hotel)  
11:30 a.m. Reconvene Regular Meeting of the Board of Trustees (Ballroom B)  
12:00 noon Luncheon (Ballroom A, Right - AU Hotel)

We appreciate all that you do for Auburn University and look forward to seeing you on Friday, November 16, 2012. Please call me, if you have questions regarding the agenda. Also, please let Grant Davis, Sherri Williams, or me know if you need assistance with travel and/or lodging arrangements.

Sincerely,

Jay Gogue  
President

JG/smw

Enclosure

c: President's Cabinet (w/encl.)  
Mr. Grant Davis (w/encl.)

RESOLUTION

APPROVAL OF MINUTES

WHEREAS, copies of the minutes of the Reconvened Meeting on Friday September 21, 2012 have been distributed to all members of this Board for review.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees that the minutes of its September 21, 2012 meeting are hereby approved as distributed.



## RESOLUTION

### AWARDING OF DEGREES

WHEREAS, Auburn University confers appropriate degrees upon those individuals who have completed requirements previously approved by this Board of Trustees and stated in University Catalogs.

NOW, THEREFORE, BE IT RESOLVED as follows:

1. That all degrees to be awarded by the faculties of Auburn University on December 8, 2012 and Auburn University Montgomery on December 15, 2012, complying with requirements heretofore established by the Board of Trustees, be and the same are hereby approved.
2. That a list of the degrees awarded on the above listed dates be filed in the Book of Exhibits and made a part of this resolution and of these minutes.

DRAFT SCHEDULE & AGENDA  
AUBURN UNIVERSITY BOARD OF TRUSTEES  
FRIDAY, NOVEMBER 16, 2012

FRIDAY, NOVEMBER 16, 2012

- I. Committee Meetings (Ballroom B, AU Hotel)  
\*\*Committee Meetings will begin at 9:30 a.m. - - all other meetings are subject to change in starting time, depending upon the length of individual meetings.
- A. Property and Facilities Committee/Chairperson Rane/9:30 a.m.
1. [Installation of Hot Water Lines along Biggio Drive Corridor of Campus, Approval of the Facility Program, Budget, Funding Plan, Site and Schematic Design](#) (Dan King)
  2. [Renovation of Plainsman Park Locker Room and Team Spaces, Approval of the Facility Program, Budget, Funding Plan, Site and Schematic Design](#) (Dan King/Jay Jacobs)
  3. Status Reports (Dan King)
    - A. [Annual Report of Maintenance Projects Greater Than \\$750,000 – FY 2012](#)
    - B. [Quarterly Report for Projects Costing More than \\$500,000 but Less than \\$750,000, 4th Quarter Fiscal Year 2012](#)
    - C. [Projects Status Report](#)
    - D. [Current Capital Projects](#)
- B. Finance Committee/Chairperson McCrary/10:00 a.m.
1. [Request to Extend Current Banking Services Agreement](#) (Don Large)
- C. Advancement Committee Meeting/Chairperson Roberts/10:15 a.m.
1. [Auburn University Endowment Portfolio Update](#) (Don Large)
  2. [Comprehensive Campaign Review](#) (Jane Parker)
- D. Joint Committee Meeting/Academic Affairs and AUM/Chairpersons Huntley and Sahlie/10:30 a.m.
1. [Auburn University at Montgomery Faculty Policies](#) (Lee Armstrong/John Veres/Joe King)
  2. [Proposed Changes to the Faculty Personnel Policies](#) (Lee Armstrong/Timothy Boosinger)
  3. [Proposed Accelerated Program Leading to the BS and the MS in Biosystems Engineering](#) (Timothy Boosinger/William Batchelor)

4. Academic Affairs Report (Timothy Boosinger)

E. Executive Committee/Chairperson Lanier/10:45 a.m.

1. [Revision of Board of Trustees By-Laws](#) (Lee Armstrong)
2. [Posthumous Awarding of the Bachelor of Science Degree in Business Administration to Donal P. Gwarjanski](#) (Timothy Boosinger)
3. [Posthumous Awarding of the Bachelor of Science Degree in Physical Activity and Health to Joseph M. Bagwell](#) (Timothy Boosinger)
4. [Posthumous Awarding of the Bachelor of Science Degree in Horticulture to Aaron Michael Heffelfinger](#) (Timothy Boosinger)
5. [Proposed Awards and Namings](#) (Gaines Lanier)

I. REGULAR MEETING OF THE BOARD OF TRUSTEES/11:00 A.M.

- A. Proposed Executive Session (Meeting Room A, AU Hotel)

II. REGULAR MEETING OF THE BOARD OF TRUSTEES/11:30 A.M. (Ballroom B, AU Hotel)  
(Agenda items are determined primarily based upon committee actions.)

12:00 NOON – LUNCHEON – BALLROOM A, RIGHT (AU HOTEL)

PROPERTY AND FACILITIES COMMITTEE

RESOLUTION

INSTALLATION OF HOT WATER LINES  
FOR THE BIGGIO DRIVE CORRIDOR OF CAMPUS:  
APPROVAL OF THE FACILITY PROGRAM, BUDGET,  
FUNDING PLAN, SITE & SCHEMATIC DESIGN

WHEREAS, the Board of Trustees, at its meeting held on June 22, 2012, adopted a resolution that approved the initiation of the Installation of Hot Water Lines for the Biggio Drive Corridor of Campus project and the selection of Burns and McDonnell of Raleigh, North Carolina, as design engineer; and

WHEREAS, the Installation of Hot Water Lines for the Biggio Drive Corridor of Campus project will connect several facilities to the campus central hot water distribution system, to include: Martin Aquatics Center, Student Activities Center, the Athletics Department Facility, the Auburn Wellness Kitchen; and the planned Sports Medicine Facility; and

WHEREAS, the connecting of these buildings to the campus central hot water system will allow for more efficient heating of these facilities, and

WHEREAS, the estimated total cost for the Installation of Hot Water Lines for the Biggio Drive Corridor of Campus project is \$2.8 million to be funded by a combination of existing bond, deferred maintenance funds; and Athletic Department funds; and

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of Auburn University that Jay Gogue, President, or such other person as may be acting as President, be and the same is hereby authorized and empowered to:

1. Establish a total project budget in the amount of \$2.8 million to be funded by a combination of existing bond, deferred maintenance, and Athletics Department funds.
2. Direct the consultants to complete the required plans for the project.
3. Solicit bids for construction conditioned upon the availability of sufficient funding as approved by the President.
4. Award a contract for construction conditioned upon the lowest responsible and responsive bid being consistent with the project budget.



**TO:** JAY GOGUE, President  
**THROUGH:** DONALD L. LARGE, Executive Vice President  
**FROM:** DAN KING, Assistant Vice President for Facilities  
**SUBJECT:** PROPERTY AND FACILITIES COMMITTEE

**INSTALLATION OF HOT WATER LINES FOR THE BIGGIO DRIVE  
CORRIDOR OF CAMPUS: APPROVAL OF FACILITY PROGRAM,  
BUDGET, FUNDING PLAN, SITE & SCHEMATIC DESIGN**

**DATE:** NOVEMBER 2, 2012

This is to request that the following items be presented to the Board of Trustees through the Property and Facilities Committee and be included on the agenda of the meeting scheduled for November 16, 2012.

**Proposal:**

It is proposed that the Installation of Hot Water Lines for the Biggio Drive Corridor of Campus project be presented to the Board of Trustees through the Property and Facilities Committee for consideration of a resolution that approves the program requirements, budget, funding plan, site, and schematic design; and authorizes the President to direct the consultants to complete the required plans; solicit bids for construction and award a contract for construction conditioned upon the lowest responsible and responsive bid being consistent with the project budget.

**Review and Consultation:**

The Board of Trustees, at its meeting held on June 22, 2012, adopted a resolution that approved the initiation of the Installation of Hot Water Lines for the Biggio Drive Corridor of Campus project and the selection of Burns and McDonnell of Raleigh, North Carolina, as design engineer.

This project will accomplish the following:

1. Eliminate the requirement for ten existing or planned building specific boilers.
2. Eliminate the need for the temporary boiler trailer currently serving the Martin Aquatics Center.
3. Eliminate the need to replace the Coliseum Boiler Plant.
4. Provide campus hot water system infrastructure for the Biggio Drive area of campus.

5. Reduce energy consumption and maintenance costs by an estimated \$230,000/year.

The project team has worked to complete the schematic design for the Installation of Hot Water Lines for the Biggio Drive Corridor of Campus. The details of the project are provided below:

Program Requirements: This project will install hot water lines to the following facilities:

- Martin Aquatics Center
- Student Activities Center
- Athletics Department Facility
- Auburn Wellness Kitchen
- Sports Medicine (planned)

Budget: The estimated total project cost for the Installation of Hot Water Lines for the Biggio Drive Corridor of Campus project is \$2.8 million.

Funding Plan: This project will be constructed using a combination of existing bond, deferred maintenance, and Athletics Department funds.

Project Location: The location for the hot water line installation is shown on attachment A.

If you concur, it is proposed that the facility program, budget, funding plan, site, and schematic design be presented to the Board of Trustees for consideration of an appropriate resolution for approval at the meeting scheduled for November 16, 2012.

**Rationale for Recommendation:**

Standing policy stipulates that project and plan development are limited to the schematic design phase until the facility program; site; budget and funding plan are approved by the Board. Board approval is necessary to allow advancement of the project.





PROPERTY AND FACILITIES COMMITTEE

RESOLUTION

RENOVATION OF PLAINSMAN PARK LOCKER ROOM AND TEAM SPACES:  
APPROVAL OF THE FACILITY PROGRAM, BUDGET,  
FUNDING PLAN, SITE & SCHEMATIC DESIGN

WHEREAS, the Board of Trustees, at its meeting held on April 20, 2012, adopted a resolution that approved a project to renovate the Plainsman Park locker room and team spaces; and

WHEREAS, the Board of Trustees, at its meeting held on June 22, 2012, adopted a resolution that approved the selection of Infinity Architecture of Montgomery, Alabama, as the architect for the project; and

WHEREAS, the estimated total cost for the Renovation of Plainsman Park Team Locker Room and Team Spaces project is \$1.2 million to be funded by a gift received by the Athletics Department specifically for this renovation; and

WHEREAS, the schematic design of the Renovation of Plainsman Park Team Locker Room and Team Spaces project, prepared by the architect, has been determined to be consistent with the "*Comprehensive Master Plan*," the "*Image and Character of Auburn University*," the facility program, and the project budget.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of Auburn University that Jay Gogue, President, or such other person as may be acting as President, be and the same is hereby authorized and empowered to:

1. Establish a total project budget in the amount of \$1.2 million to be funded by a gift received by the Athletics Department specifically for this renovation.
2. Direct the consultants to complete the required plans for the project.
3. Solicit bids for construction conditioned upon the availability of sufficient funding as approved by the President.
4. Award a contract for construction conditioned upon the lowest responsible and responsive bid being consistent with the project budget.



TO: JAY GOGUE, President  
THROUGH: DONALD L. LARGE, Executive Vice President  
FROM: DAN KING, Assistant Vice President for Facilities  
SUBJECT: PROPERTY AND FACILITIES COMMITTEE

**RENOVATION OF PLAINSMAN PARK LOCKER ROOM AND TEAM  
SPACES: APPROVAL OF FACILITY PROGRAM, SITE, BUDGET,  
FUNDING PLAN & SCHEMATIC DESIGN**

DATE: NOVEMBER 2, 2012

This is to request that the following items be presented to the Board of Trustees through the Property and Facilities Committee and be included on the agenda of the meeting scheduled for November 16, 2012.

**Proposal:**

It is proposed that the Renovation of Plainsman Park Team Locker Room and Team Spaces project be presented to the Board of Trustees through the Property and Facilities Committee for consideration of a resolution that approves the program requirements, budget, funding plan, site, and schematic design; and authorizes the President to direct the consultants to complete the required plans; solicit bids for construction and award a contract for construction conditioned upon the lowest responsible and responsive bid being consistent with the project budget.

**Review and Consultation:**

The Board of Trustees, at its meeting held on April 20, 2012, adopted a resolution that approved a project to renovate the Plainsman Park locker room and team spaces. The Board of Trustees, at its meeting held on June 22, 2012, adopted a resolution that approved the selection of Infinity Architecture of Montgomery, Alabama, as the architect for the project.

The project team has worked to complete the schematic design for the Renovation of Plainsman Park Team Locker Room and Team Spaces. The details of the project are provided below:

Program Requirements: This project will renovate approximately 6,200 square feet of the existing baseball team locker rooms, meeting rooms, study areas, training and rehabilitation facilities, and equipment spaces. Part of this renovation will reorganize the existing space to relocate baseball equipment

storage, laundry and training areas from Beard Eaves Memorial Coliseum to Plainsman Park. The renovation will also include upgrades to interior finishes such as carpet, light fixtures, graphics and lockers.

Budget: The estimated total project cost for the Renovation of Plainsman Park Team Locker Room and Team Spaces is \$1.2 million.

Funding Plan: This project will be funded by a gift received by the Athletics Department specifically for this renovation.

Project Location: The team spaces to be renovated are located along the third base side of the Plainsman Park facility.

If you concur, it is proposed that the facility program, budget, funding plan, site, and schematic design be presented to the Board of Trustees for consideration of an appropriate resolution for approval at the meetings scheduled for November 16, 2012.

**Rationale for Recommendation:**

Standing policy stipulates that project and plan development are limited to the schematic design phase until the facility program; site; budget and funding plan are approved by the Board. Board approval is necessary to allow advancement of the project.



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**TO:** JAY GOGUE, President  
**THROUGH:** DONALD L. LARGE, Executive Vice President  
**FROM:** DAN KING, Assistant Vice President for Facilities  
**SUBJECT:** PROPERTY AND FACILITIES COMMITTEE  
**CURRENT STATUS OF NEW CONSTRUCTION/RENOVATION/  
INFRASTRUCTURE PROJECTS WITH BUDGETS OF \$750,000  
AND GREATER**  
*(For Information Only)*  
**DATE:** NOVEMBER 2, 2012

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This memorandum requests the following proposal be presented to the Board of Trustees through the Property and Facilities Committee and included on the agenda at the meeting scheduled for November 16, 2012.

**Proposal:**

Consistent with standing practice, it is proposed that the current status report of new construction/renovation/infrastructure projects with budgets greater than \$750,000 be submitted, *for information only*, to the Board of Trustees through the Property and Facilities Committee.

**Review and Consultation:**

The Board of Trustees at its meeting on June 4, 2001, requested that it receive a regular update on the status of new projects that are underway or planned which have project budgets of \$750,000 or more. The attached list includes projects at Auburn University and outlying units.

**Rationale for Recommendation:**

Consistent with the request of the Board of Trustees for a current status report of new construction/renovation/infrastructure projects with budgets greater than \$750,000, the attached listing is provided, *for information only*, to the Board through the Property and Facilities Committee for inclusion on the agenda of the meeting scheduled for June 22, 2012.



**TO:** JAY GOGUE, President  
**THROUGH:** DONALD L. LARGE, Executive Vice President  
**FROM:** DAN KING, Assistant Vice President for Facilities  
**SUBJECT:** PROPERTY AND FACILITIES COMMITTEE

**QUARTERLY REPORT FOR PROJECTS COSTING MORE THAN  
\$500,000 BUT LESS THAN \$750,000 – 4th QTR FISCAL YEAR 2012**  
*(For Information Only)*

**DATE:** NOVEMBER 2, 2012

This memorandum requests the following proposal be presented to the Board of Trustees through the Property and Facilities Committee and included on the agenda at the meeting scheduled for November 16, 2012.

**Proposal:**

The Board of Trustees, at its meeting on June 4, 2001, adopted a resolution stipulating that all projects with a total cost in the range of \$500,000 to \$750,000 be reported quarterly. The intent of this report is to keep the Property and Facilities Committee informed of those projects as they are occurring on campus. Consistent with standing policy, it is proposed that this report be submitted for information only.

**Review and Consultation:**

Projects initiated in the 4th Quarter of Fiscal Year 2012 and costing more than \$500,000 but less than \$750,000 are listed on the following table.

| 4th Quarter FY 2012 Projects<br>\$500,000 - \$750,000  | Project<br>Number | Account Number   | Cost      |
|--|-------------------|------------------|-----------|
| Roosevelt – War Eagle Pedestrian<br>Safety Improvement   | 10-174            | 920771102048P100 | \$557,491 |
| Foy Hall – Ballroom (Rm. 258),<br>Renovate and Convert Into a Large<br>Classroom               | 11-355            | 920973102048P100 | \$554,837 |
| Funchess Hall – Second, Third, and<br>Penthouse Levels, Replace Multiple<br>Air Handling Units | 11-305            | 920963102048P100 | \$546,285 |

**Rationale for Recommendation:**

Consistent with standing policy, this report is submitted to the Board of Trustees through the Property and Facilities Committee for information at the meeting scheduled for November 16, 2012.



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**TO:** JAY GOGUE, President  
**THROUGH:** DONALD L. LARGE, Executive Vice President  
**FROM:** DAN KING, Assistant Vice President for Facilities  
**SUBJECT:** PROPERTY AND FACILITIES COMMITTEE  
**PROJECT STATUS REPORT**  
**DATE:** NOVEMBER 2, 2012

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This memorandum requests the following proposal be presented to the Board of Trustees through the Property and Facilities Committee and included on the agenda at the meeting scheduled for November 16, 2012.

**Proposal:**

In response to informal inquiries with regard to particular projects in progress or envisaged, it is proposed that a brief report regarding the status of Board of Trustees approved projects be submitted, *for information only*, to the Board of Trustees through the Property and Facilities Committee.

**Review and Consultation:**

The responsibility of the Board of Trustees extends to the oversight of funding, planning, design, construction, maintenance and operation of University buildings and facilities. The date of project establishment in the development process is often separated by years from the date of dedication. Although the process is prolonged, Board interest remains enthusiastic throughout. This Project Status Report is intended to inform interested parties of the status of projects previously approved by the Board of Trustees.

**Rationale for Recommendation:**

The desire to be responsive to inquiries regarding specific capital projects and the process from conception to completion has prompted the development of a Project Status Report. The current memo is provided, *for information only*, to the Board of Trustees through the Property and Facilities Committee for inclusion on the agenda of the meeting scheduled for November 16, 2012.

**PROJECT/PHASE****STATUS****Projects in Planning Stage:**

- Equine Studies – New Facilities
- Equine Plasma Storage Building
- Band Rehearsal Hall Phase 2
- Wire Road Widening and Realignment

On hold pending funding  
On hold pending funding  
Approved September 2009  
Approved April 2011

**Projects in Design Stage:**

- Pharmaceutical Research & Development Center
- Renovations to the Hill and CDV Residence Halls
- Central Classroom Facility
- Relocation of Sports Medicine and Other Team Functions From the Coliseum
- Construct Faculty and Staff Lounge
- Renovation of Plainsman Park Locker Rooms
- Hot Water Lines for the Athletic/Recreation Sector

Approved June 2007  
Approved June 2010  
Approved June 2011  
Approved February 2012  
  
Approved April 2012  
Approved April 2012  
Approved June 2012

**Schematic Design Approved:**

- Pebble Hill Renovation & Addition
- Watson Field House Renovation
- Auburn Wellness Kitchen

Approved November 2007  
Approved April 2011  
Approved November 2011

**Projects in Construction Stage:**

- COSAM – Biodiversity Learning Center
- Telfair Peet Theatre Addition
- Center for Adv. Science, Innovation & Commerce
- Small Animal Teaching Hospital – Phase II
- Student Wellness and Sustainability Center
- Facilities Division Buildings VI & VII
- Department of Kinesiology Building
- Biological Engineering Research Laboratory
- Parking and Transportation Facility at Biggio Drive
- Student Housing and Dining: West Samford & Donahue
- Solon Dixon Forestry Education Center Classroom
- AUM: Student Residence Hall

Approved November 2006  
Approved November 2009  
Approved September 2009  
Approved February 2010  
Approved June 2010  
Approved June 2010  
Approved September 2010  
Approved November 2010  
Approved February 2011  
Approved February 2011  
Approved April 2011  
Approved April 2011

**Projects in Closeout Stage or Complete:**

- Small Animal Teaching Hospital – Phase I
- AUM Wellness Center

Approved Feb 2010  
Approved June 2010





**TO:** JAY GOGUE, President  
**THROUGH:** DONALD L. LARGE, Executive Vice President  
**FROM:** THOMAS E. TILLMAN  
**SUBJECT:** PROPERTY AND FACILITIES COMMITTEE  
**ANNUAL REPORT OF MAINTENANCE  
PROJECTS GREATER THAN \$750,000 – FY 2012**  
*(For Information Only)*  
**DATE:** NOVEMBER 2, 2012

This is to request that the following item be submitted through the Property and Facilities Committee to the Board of Trustees at the meeting scheduled for November 16, 2012.

**Proposal:**

It is proposed that the *Annual Report of Maintenance Projects Greater than \$750,000* for Fiscal Year 2012 be submitted, *for information only*, to the Board of Trustees through the Property and Facilities Committee.

**Review and Consultation:**

The Board of Trustees at its June 4, 2001, meeting asked that maintenance projects that cost more than \$750,000 be reported to the Board on an annual basis. A listing of all the maintenance projects that cost more than \$750,000 for FY 2012 is provided as follows:

| Project Number | Account Number | FY 2012 Maintenance Projects more than \$750,000                      | Cost      | M & O Year |
|----------------|----------------|---|-----------|------------|
| 11-328         | 920961         | J-H Stadium – Restoration/Maintenance                                 | 1,000,000 | FY2012     |
| 12-116         | 922049         | Haley Ctr. – Roof Repairs Due to Storm Damage                         | 1,549,620 | FY2012     |
| 12-115         | 922029         | Student Act. Ctr. – Roof Repairs                                      | 1,713,420 | FT2012     |
| 11-134         | 920947         | Hill Residence Halls & Burton Hall – Roof Repairs due to Storm Damage | 1,907,868 | FY2012     |

**Rationale for Recommendation:**

Consistent with the request of the Board of Trustees for an annual report of maintenance projects costing more than \$750,000, this listing is provided, *for information only*, to the Board through the Property and Facilities Committee for inclusion on the agenda of the meeting scheduled for November 16, 2012.



AUBURN UNIVERSITY  
OFFICE OF THE PRESIDENT

October 11, 2012

MEMORANDUM TO: President Jay Gogue

FROM: Donald L. Large, Jr.

SUBJECT: Board of Trustees Agenda Item

- Request to Extend Current Banking Services Agreement

**PROPOSAL:**

It is requested that the Finance Committee approve an extension of the current banking services agreement for an additional two years.

**BACKGROUND:**

Board of Trustee Policy provides that the university seek formal proposals every five years for banking services for its operating and payroll needs. The current contract expires March 31, 2013. For various reasons including financial advantages for the university and the numerous activities and transitions currently underway as explained in the attached memo (Attachment 1), we believe it would be advantageous to the university to extend the current contract. It should also be noted that the current banking services are very effective and efficient thus the only reason for seeking proposals would be the five year policy.

**RATIONALE FOR RECOMMENDATION:**

The administration is very pleased with the current banking services. The bank offer to extend for an additional two years at very favorable rates (Attachment 2) is another factor in making the recommendation to extend the current contract. Additionally, with the numerous internal projects, systems transitions and other activities our personnel are currently engaged with, it would be helpful to avoid a possible transition of these services at this time.

pah


c: Mr. Grant Davis


**INTERNAL MEMORANDUM****Auburn University  
Office of Cash Management****120 O. D. Smith Hall  
Telephone 4-5234 Facsimile 4-5238**

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Date: August 30, 2012

To: Donald L. Large, Jr., Executive Vice President & Treasurer

Through: Marcie C. Smith, Associate V.P. for Business & Finance 

From: Jeannie Bumgardner, Director, Cash Management 

Reference: Banking Services

Recently we receive the attached letter from Regions Bank with an offer to extend the existing Banking Services contract for an additional two years without an increase in pricing AND no reduction in the guaranteed minimum money market rate of .45%. The opportunity to extend the pricing schedule at 2008 rates is beneficial to the University as well as the earnings potential and safety (covered under the SAFE program) of the money market account compared to current investment rates such as the three month Treasury Bill at .11%.

The RFP process itself and any subsequent change of banks is a huge administrative undertaking. The areas most affected by an undertaking such as this time are currently struggling to provide the resources to complete unfunded mandates created by the recent Retirement legislation, changes in Health and Employee Benefits, and the State Immigration Laws. In addition ISS is in the process of implementing the Kronos Timekeeping System in conjunction with Payroll and multiple electronic options in Banner such as e-collection reports, e-journal vouchers, e-travel vouchers, e- bank transfers.

The existing contract term was for a period of 5 years, and, upon agreement by both parties, the contract may be extended for a mutually agreed period, not to exceed 10 years total. This five year term will expire on April 1, 2013. I have discussed with Marcie and we believe it would be worthwhile at this time to extend two years to April 1, 2015. Please let me know if you are in agreement or have questions.



Jay Stenger  
201 Monroe Street  
Montgomery, Alabama 36104  
August 3, 2012

Jeannie Bumgardner  
Director of Cash Management  
Auburn University  
120 O.D. Hall  
Auburn, Alabama 36849

Dear Jeannie:

I want to take a moment to thank you for your business. Auburn University is a valued client of Regions Bank and we appreciate the strong working relationship we have with you and your team. As such, it is our goal to offer you the very best solutions for your cash management needs. As you know, the contract between the University and Regions Bank has an expiration of March 31, 2013, with the option to continue the contract if both sides agree. As you know, the contract originated in 2008. Since then, the rate environment has changed dramatically. Current interest rates are at historic lows. As a result, I believe the contract interest rate and Treasury Management fee structure are significantly better than market rates and very competitive in today's banking environment. Nonetheless, we would be happy to extend the contract with no changes, if you approve.

If you have any thoughts on this matter or suggestions for how we can improve our relationship with the University, please let me know. As always, it is a pleasure doing business with you, your staff, and Auburn University.

We are ready to move forward on the extension at your approval and welcome the opportunity to discuss at your convenience.

Sincerely,

Jay Stenger  
Assistant Vice President  
Regions Bank






AUBURN UNIVERSITY  
OFFICE OF THE PRESIDENT

October 12, 2012

MEMORANDUM TO: President Jay Gogue

FROM: Donald L. Large, Jr. 

SUBJECT: Board of Trustees Agenda Item

- Auburn University Endowment Portfolio Update

**PROPOSAL:**

It is proposed that the Advancement Committee of the Board of Trustees be presented an update from endowment manager, Prime Buchholz (Attachment 1), who provides management consulting services for Auburn University and the Auburn University Foundation endowments.

**BACKGROUND AND INFORMATION:**

Auburn University contracts with the Auburn University Foundation to manage the university's endowment portfolio. While maintaining its fiduciary responsibility for ownership of the Auburn University endowments by establishing investment and spending policies, the Board of Trustees delegates authority to the Auburn University Foundation for the day-to-day management of the endowment portfolio. This includes development of investment strategies, tactical allocation among approved asset classes, strategies within asset classes, and investment manager selection and termination. In order to facilitate communication and reporting between the Auburn University Board of Trustees and the Auburn University Foundation Investment Committee, a member of the Auburn University Board serves on the Auburn University Investment Committee. Attachment 2 provides a recent summary of activities and other related information.

**RATIONALE FOR RECOMMENDATION:**

The Board of Trustees should periodically receive reports from the university endowment manager. We have been providing such reporting each fall and are recommending the November 2012 meeting as an appropriate opportunity for the proposed reporting.

pah

c: Mr. Grant Davis



PORTSMOUTH  
BOSTON  
ATLANTA

Ben Riordan and Marshall Raucci, Jr. • Consultants  
Alice DonnaSelva • Investment Analyst  
Kristin Tahai • Performance Analyst  
  
pbaAUF@primebuchholz.com

## Auburn University

Board of Trustees Meeting

November 16, 2012

# Market Highlights

- Global economic conditions impacting the current market:
  - July — The optimism created by the European Union Summit at the end of June wore off in July. Domestic and international equity market returns were modestly positive. Investors sought yield and safety, sending long duration and higher yielding investments a bit higher than equities; long Treasuries returned 3.3% and real estate equities — as measured by the FTSE EPRA NAREIT Global Index — returned 3.6%. The basket of commodities measured by the DJ-UBS Commodity Index rose 6.5%, as severe drought in the Midwest and a heat wave drove agriculture and energy-related commodities higher.
  - August — U.S. GDP for the second quarter was revised upward to 1.7%, in line with expectations. Equity markets in developed countries continued to post modest gains while emerging markets in aggregate lost a bit of ground. Bond markets produced mostly flat returns.
  - September — Investor optimism mounted as governments around the world announced intervention programs. Bond yields in most of the PIIGS countries ended the month lower and the U.S. dollar declined. Equity markets in developed countries once again posted modest gains and emerging markets rallied, returning 6% for the month.
  - Oil prices rose sharply over the first two months of the third quarter then drew back a bit in the final month of the quarter.

| The Market                                    |                     |            |
|---|---------------------|------------|
| As of September 30, 2012                      |                     |            |
|   | Calendar<br>YTD (%) | 1 Year (%) |
| U.S. Stocks (S&P 500)                         | 16.4                | 30.2       |
| International Stocks (MSCI EAFE)              | 10.1                | 13.8       |
| Emerging Markets (MSCI Emerging Markets)      | 12.0                | 16.9       |
| Hedge Funds (HFRI Fund VWeighted)             | 4.7                 | 5.5        |
| Global Real Estate (EPRA/NAREIT Global Index) | 21.6                | 30.6       |
| U.S. Bonds (Barclays Aggregate)               | 4.0                 | 5.2        |



# Endowment: Executive Summary

## Auburn University

Preliminary Executive Summary as of September 30, 2012

| Market Value  | % of Portfolio |   | 1 Mo. | 3 Mo. | Fiscal YTD | Calendar YTD | 1 YR | 2 YRS | 3 YRS | 5 YRS | Return Since | Inception Date |
|---------------|----------------|---|-------|-------|------------|--------------|------|-------|-------|-------|--------------|----------------|
| \$177,386,000 | 100.0          | Total Managed Fund                                  | 1.9   | 4.4   | 10.7       | 7.9          | 10.7 | 6.2   | 7.4   | 1.5   | 6.4          | Jul-03         |
|               |                | Actual Index ^                                      | 1.7   | 4.0   | 10.1       | 7.3          | 10.1 | 5.5   | 6.4   | 1.1   | 6.0          | Jul-03         |
|               |                | Policy Index  | 1.6   | 4.0   | 10.8       | 7.7          | 10.8 | 6.1   | 6.8   | 0.8   | 5.7          | Jul-03         |
|               |                | 65% S&P 500 Index/35% Barclays U.S. Aggregate Index | 1.7   | 4.7   | 21.1       | 12.1         | 21.1 | 11.6  | 11.0  | 3.4   | 6.3          | Jul-03         |
|               |                | Consumer Price Index                                | -0.2  | 0.2   | 1.4        | 1.9          | 1.4  | 2.6   | 2.1   | 2.0   | 2.5          | Jul-03         |
| \$64,460,933  | 36.3           | Global Equity                                       | 3.7   | 7.1   | 21.4       | 14.0         | 21.4 | 7.6   | 9.1   | 0.1   | 7.2          | Jul-03         |
| \$14,497,769  | 8.2            | Private Equity (\$25.3mm committed)                 | -1.0  | -1.1  | -1.4       | 0.3          | -1.4 | 6.4   | 8.3   | 4.9   | 4.9          | Sep-05         |
| \$17,807,686  | 10.0           | Absolute Return                                     | 0.6   | 2.1   | 5.1        | 6.1          | 5.1  | 3.8   | 4.8   | 2.8   | 4.4          | May-05         |
|               |                | HFRI FOF: Conservative Index                        | 0.3   | 1.6   | 2.4        | 2.4          | 2.4  | 0.6   | 1.6   | -1.5  | 1.6          |                |
| \$33,028,779  | 18.6           | Directional Hedge                                   | 0.9   | 2.9   | 7.0        | 5.2          | 7.0  | 3.9   | 5.3   | 1.9   | 6.2          | Jun-05         |
|               |                | HFRI FOF: Strategic Index                           | 1.1   | 2.7   | 3.5        | 3.9          | 3.5  | 0.2   | 1.4   | -2.4  | 2.6          |                |
| \$26,836,299  | 15.1           | Total Inflation Hedging                             | 2.3   | 4.9   | 10.7       | 6.9          | 10.7 | 8.2   | 7.4   | -5.4  | 0.8          | Jun-05         |
|               |                | Inflation Hedging Composite Index                   | 1.7   | 5.1   | 11.5       | 6.6          | 11.5 | 9.7   | 9.6   | 0.2   | 6.2          |                |
| \$18,584,077  | 10.5           | Total Fixed Income                                  | 1.2   | 3.1   | 7.0        | 6.4          | 7.0  | 7.0   | 9.0   | 8.3   | 6.2          | Jul-03         |
|               |                | Fixed Income Composite Index                        | 0.6   | 2.2   | 4.3        | 3.8          | 4.3  | 5.7   | 7.3   | 8.0   | 6.0          |                |
| \$2,167,822   | 1.2            | Total Liquid Capital                                | -0.4  | -1.5  | -1.5       | -1.5         | -1.5 | -0.8  | -0.5  | 0.3   | 1.6          | Apr-04         |

# Endowment: Executive Summary

**Auburn University**

## Preliminary Executive Summary as of September 30, 2012

### Please Note:

- Periods greater than one year are annualized
- Since inception returns are calculated from the first full month
- <sup>A</sup>Inception of current structure. Actual index represents actual manager weights with benchmark returns
- Performance and market values are subject to change based on statement availability from the investment manager/custodian
- Venture Economics, NCREIF, NCREIF Timberland Index returns may not be available to date
- Policy Index (effective 5/1/12): 15% Russell 3000 Index/ 21.5% MSCI AC World xUS Index/ 12.5% Venture Economics All PE (Pooled IRR) Index/ 14% HFRI FOF Strategic Index/ 11% HFRI FOF Conservative Index/ 15% Inflation Hedging Composite Index (Includes TIPS)/ 11% Fixed Income Composite Index
- Policy Index (prior to 4/30/12): 13% Russell 3000 Index/ 19.5% MSCI AC World xUS Index/ 10% Venture Economics All PE (Pooled IRR) Index/ 17% HFRI FOF Strategic Index/ 12.5% HFRI FOF Conservative Index/ 17% Inflation Hedging Composite Index (Includes TIPS)/ 11% Fixed Income Composite Index
- Inflation Hedging Composite Index comprised of actual weights of the following indices (effective 11/1/11): NCREIF Property Index, SRA Custom Index, Barclays US Treasury Inflation Index, UBS Global REIT Index, DJ-UBS Commodity Index, S&P/GS Natural Resources Index, MSCI World Energy Index and CPI + 5%  
Barclays US Treasury Inflation Index, UBS Global REIT Index, DJ-UBS Commodity Index, S&P/GS Natural Resources Index, MSCI World Energy Index and CPI + 5%.
- Fixed Income Composite Index (as of 5/1/11): 27.5% Barclays U.S. Aggregate Index / 27.5 Barclays U.S. Aggregate Ftr Adjusted Composite Index / 45% Citigroup World Govt Bond Index
- Private Equity, Private Real Assets: Market value generally reported one quarter in arrears, adjusted for current capital activity. Valuations subject to availability
- Performance may change as updates are processed
- Domestic Equity, Non-U.S. Developed Equity, Emerging Market Equity: Segment level since inception performance includes terminated managers
- Placer Creek Holdback: Market values included in total fund and reflect illiquid assets to be paid as funds become available; Valuations subject to availability
- Alydar, Berens, Eton Park, Och Ziff: Market value estimated using preliminary manager-reported performance
- Archstone: Market value represents estimated proceeds from a 9/30/2012 redemption, to be paid in early October

# Asset Allocation

## Asset Allocation Policy Ranges by September 30, 2012 Market Value

|   | Lower (%) | Target (%) | 9/30/2012<br>Actual<br>Allocation (%) | Upper (%) |
|---|-----------|------------|---------------------------------------|-----------|
| Global Equity                             | 26.5      | 36.5       | 36.3                                  | 46.5      |
| Global Private Capital                    | 8.0       | 12.5       | 8.2                                   | 16.0      |
| Global Long/Short                         | 9.0       | 14.0       | 18.6                                  | 19.0      |
| Absolute Return                           | 6.0       | 11.0       | 10.0                                  | 16.0      |
| Core Bonds                                | 4.0       | 6.0        | 5.6                                   | 13.0      |
| Natural Resources/Real Estate/Commodities | 8.0       | 13.0       | 13.4                                  | 18.0      |
| U.S. TIPS                                 | 0.0       | 2.0        | 1.7                                   | 4.5       |
| Non-U.S. Government                       | 2.0       | 5.0        | 4.9                                   | 8.0       |
| Cash                                      | 0.0       | 0.0        | 1.2                                   | 5.0       |

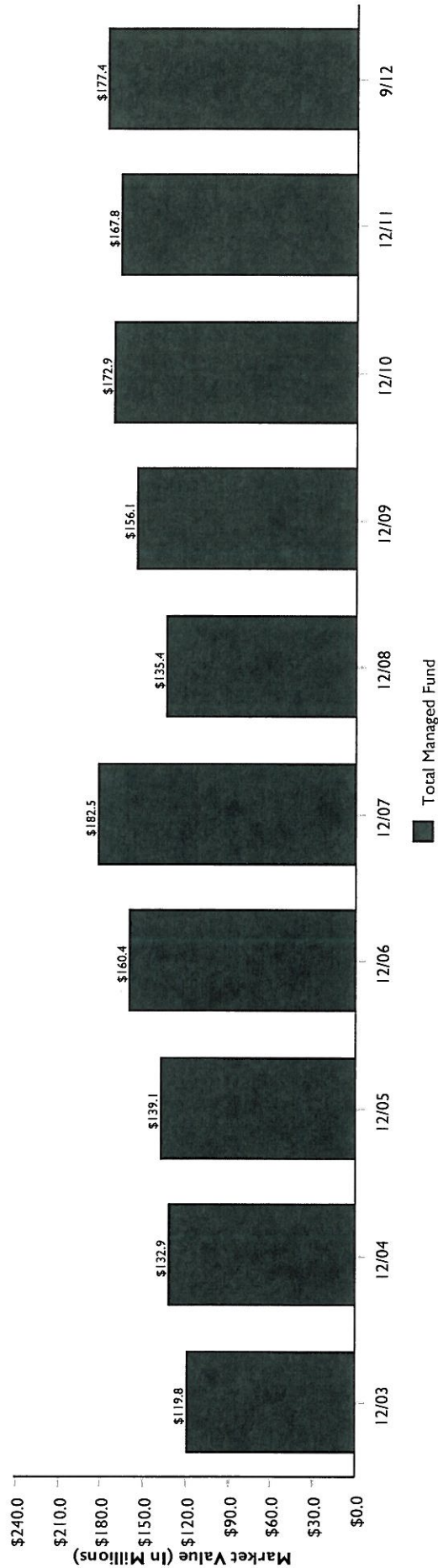


# Endowment: Schedule of Investable Assets

## Total Managed Fund

July 1, 2003 To September 30, 2012

| Periods Ending | Beginning<br>Market Value | Net<br>Cash Flow    | Investment Performance | Ending<br>Market Value |
|----------------|---------------------------|---------------------|------------------------|------------------------|
| From 07/2003   | \$106,193,778             | \$2,105,905         | \$11,491,251           | \$119,790,934          |
| 2004           | \$119,790,934             | -\$420,567          | \$13,543,412           | \$132,913,779          |
| 2005           | \$132,913,779             | -\$2,153,781        | \$8,372,721            | \$139,132,718          |
| 2006           | \$139,132,718             | \$135,464           | \$21,098,575           | \$160,366,757          |
| 2007           | \$160,366,757             | \$6,972,594         | \$15,171,845           | \$182,511,196          |
| 2008           | \$182,511,196             | -\$2,521,248        | -\$44,555,393          | \$135,434,555          |
| 2009           | \$135,434,555             | -\$3,337,075        | \$23,974,028           | \$156,071,508          |
| 2010           | \$156,071,508             | -\$2,252,327        | \$19,126,648           | \$172,945,830          |
| 2011           | \$172,945,830             | -\$3,533,551        | -\$1,653,578           | \$167,758,700          |
| To 09/2012     | \$167,758,700             | -\$3,514,027        | \$13,141,326           | \$177,386,000          |
|                | <b>\$106,193,778</b>      | <b>-\$8,518,613</b> | <b>\$79,710,835</b>    | <b>\$177,386,000</b>   |



- Ending market value excludes Placer Creek Holdback

# Traditional vs. Diversified Portfolios – Rolling Period Performance

|                                | 1 Year |                    | 2 Years |                    | 3 Years |                    | 5 Years |                    | 7 Years |                    | 10 Years |                    |
|--------------------------------|--------|--------------------|---------|--------------------|---------|--------------------|---------|--------------------|---------|--------------------|----------|--------------------|
|                                | Return | Standard Deviation | Return  | Standard Deviation | Return  | Standard Deviation | Return  | Standard Deviation | Return  | Standard Deviation | Return   | Standard Deviation |
| <b>As of June 30, 2012</b>     |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | -2.1   | 10.7               | 8.4     | 9.8                | 9.1     | 9.4                | 0.9     | 11.5               | 5.4     | 10.2               | 6.9      | 9.4                |
| 65% S&P 500 / 35% BC Aggregate | 6.6    | 10.9               | 13.5    | 9.9                | 13.4    | 10.1               | 2.9     | 12.6               | 5.0     | 10.9               | 5.8      | 10.3               |
| <b>As of December 31, 2010</b> |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | 11.9   | 10.2               | 14.4    | 10.6               | -0.8    | 12.9               | 5.2     | 10.8               | 7.4     | 9.6                | 5.5      | 9.3                |
| 65% S&P 500 / 35% BC Aggregate | 12.5   | 11.4               | 15.9    | 13.2               | 0.7     | 14.6               | 3.9     | 11.8               | 4.6     | 10.3               | 3.3      | 10.6               |
| <b>As of December 31, 2009</b> |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | 17.1   | 11.0               | -6.6    | 13.8               | 0.0     | 12.0               | 5.5     | 10.1               | 8.7     | 9.1                | 5.0      | 9.3                |
| 65% S&P 500 / 35% BC Aggregate | 19.4   | 14.6               | -4.8    | 15.7               | -1.3    | 13.3               | 2.3     | 10.7               | 5.5     | 9.8                | 1.9      | 10.5               |
| <b>As of December 31, 2008</b> |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | -25.5  | 13.2               | -7.6    | 11.9               | -0.5    | 10.5               | 4.7     | 9.0                | 5.4     | 8.7                | 5.7      | 9.1                |
| 65% S&P 500 / 35% BC Aggregate | -24.1  | 13.9               | -10.2   | 11.6               | -3.4    | 10.2               | 0.4     | 8.5                | 1.1     | 9.2                | 1.3      | 9.7                |
| <b>As of December 31, 2007</b> |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | 14.7   | 5.8                | 15.0    | 5.4                | 14.4    | 5.5                | 15.5    | 5.5                | 8.4     | 7.0                | 9.6      | 8.0                |
| 65% S&P 500 / 35% BC Aggregate | 6.1    | 5.7                | 8.9     | 4.9                | 7.3     | 4.9                | 9.9     | 5.6                | 4.4     | 8.3                | 6.2      | 9.3                |
| <b>As of December 31, 2006</b> |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | 15.2   | 5.0                | 14.2    | 5.4                | 13.9    | 5.2                | 11.0    | 6.5                | 7.2     | 7.8                | 9.7      | 8.2                |
| 65% S&P 500 / 35% BC Aggregate | 11.7   | 3.9                | 7.8     | 4.5                | 8.1     | 4.6                | 6.0     | 7.7                | 3.2     | 9.0                | 8.0      | 9.9                |
| <b>As of December 31, 2005</b> |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | 13.3   | 5.7                | 13.2    | 5.2                | 15.9    | 5.6                | 5.8     | 7.5                | 8.4     | 8.3                | 9.8      | 8.2                |
| 65% S&P 500 / 35% BC Aggregate | 4.1    | 4.8                | 6.4     | 4.9                | 10.6    | 6.0                | 2.7     | 9.2                | 3.4     | 9.5                | 8.4      | 10.1               |
| <b>As of December 31, 2004</b> |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | 13.1   | 4.7                | 17.3    | 5.5                | 8.9     | 7.0                | 4.5     | 8.5                | 7.6     | 8.9                | 10.4     | 8.1                |
| 65% S&P 500 / 35% BC Aggregate | 8.6    | 4.8                | 14.0    | 6.3                | 4.8     | 9.3                | 1.5     | 10.3               | 5.8     | 10.7               | 10.9     | 10.2               |
| <b>As of December 31, 2003</b> |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | 21.6   | 5.9                | 6.9     | 7.9                | 1.2     | 8.4                | 6.6     | 9.1                | 8.0     | 9.1                | 9.4      | 8.2                |
| 65% S&P 500 / 35% BC Aggregate | 19.7   | 7.2                | 3.0     | 10.8               | 0.3     | 11.2               | 2.3     | 10.8               | 7.9     | 11.4               | 9.9      | 10.4               |
| <b>As of December 31, 2002</b> |        |                    |         |                    |         |                    |         |                    |         |                    |          |                    |
| Diversified Portfolio*         | -6.0   | 7.9                | -7.7    | 8.2                | -3.2    | 9.4                | 3.9     | 9.7                | 7.3     | 9.0                | 9.3      | 8.1                |
| 65% S&P 500 / 35% BC Aggregate | -11.4  | 12.0               | -8.1    | 12.0               | -6.1    | 11.7               | 2.7     | 11.9               | 7.4     | 11.4               | 9.0      | 10.2               |



# Index Descriptions

Third Quarter 2012

**Barclays Aggregate Index** comprises government securities, mortgage-backed securities, asset-backed securities and corporate securities to simulate the universe of bonds in the market. The maturities of the bonds in the index are over one year.

**Barclays Aggregate Float Adjusted Index** is a benchmark of the dollar-denominated investment grade bond market that excludes Treasuries, agencies, and mortgage-backed securities held in Federal Reserve accounts.

**Barclays Corporate Bond Index** includes investment-grade, SEC-registered publicly issued U.S. corporate debentures and secured notes. The corporate sectors are industrial, utility, and finance. All securities must have at least one year to final maturity and at least \$250 million of par outstanding.

**Barclays High Yield Index** covers the universe of fixed rate, non-investment grade debt. Pay-in-kind (PIK) bonds, Eurobonds, and debt issues from countries designated as emerging markets (e.g., Argentina, Brazil, Venezuela, etc.) are excluded, but Canadian and global bonds (SEC-registered) of issuers in non-EMG countries are included. Original issue zeroes, step-up coupon structures, and 144-As are also included.

**Barclays Global Emerging Markets Index** represents the union of the USD-denominated U.S. Emerging Markets Index and the predominately EUR-denominated Pan Euro Emerging Markets Index, covering emerging markets in the following regions: Americas, Europe, Middle East, Africa, and Asia. Countries must have a maximum sovereign rating of Baa1/BBB+/BBB+.

**Barclays Global Treasury Ex-US** Capped Index includes government bonds issued by investment-grade countries outside the United States, in local currencies, that have a remaining maturity of one year or more and are rated investment grade.

**Barclays Global Treasury Index** tracks fixed-rate local currency sovereign debt of investment-grade countries. The Index represents the Treasury sector of the Global Aggregate Index and currently contains issues from more than 30 countries denominated in over 20 currencies. The three major components are the U.S. Treasury Index, the Pan-European Treasury Index, and the Asian-Pacific Treasury Index, in addition to Canadian, Chilean, Mexican, and South-African government bonds.

**Barclays GNMA Index** is comprised of 30-year GNMA pass-throughs, 15-year GNMA pass-throughs, and GNMA Graduated Payment Mortgages.

**Barclays Intermediate U.S. Treasury Index** includes all publicly issued U.S. Treasury securities that have a remaining maturity of greater than or equal to 1 year and less than 10 years, are rated investment grade, and have \$250 million or more of outstanding face value.

**Barclays Long U.S. Treasury Index** includes all publicly issued, U.S. Treasury securities that have a remaining maturity of 10 or more years, are rated investment grade, and have \$250 million or more of outstanding face value.

**Barclays U.S. Credit Index** includes publicly issued U.S. corporates, specified foreign debentures, and secured notes denominated in U.S. dollars. The Index is a subset of the U.S. Government/Credit Index and the U.S. Aggregate Index.

**Barclays U.S. Mortgage Backed Securities (MBS) Index** covers agency mortgage-backed pass-through securities (both fixed-rate and hybrid adjustable rate mortgages) issued by Ginnie Mae (GNMA), Fannie Mae (FNMA), and Freddie Mac (FHLMC).

**Barclays U.S. Treasury Index** is comprised of public obligations of the U.S. Treasury. Treasury bills are excluded by the maturity constraint but are part of a separate Short Treasury Index.

**Barclays U.S. TIPS Index** is a rules-based, market value-weighted index that tracks inflation protected securities issued by the U.S. Treasury.

**Barclays Mortgage Index** contains 15- and 30-year fixed-rate securities. These securities are pools of mortgage loans issued by Ginnie Mae (GNMA), Fannie Mae (FNMA), and Freddie Mac (FHLMC). The Index holds approximately 600 securities.

**Citigroup 3-Month T-Bill Index** consists of equal dollar amounts of three-month Treasury bills that are purchased at the beginning of each of three consecutive months. As each bill matures, all proceeds are rolled over or reinvested in a new three-month bill.

**Citigroup World Government Bond Index** is a market capitalization weighted index consisting of the government bond markets of the following countries: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Italy, Japan, Netherlands, Spain, Sweden, Switzerland, United Kingdom, and United States. It includes all fixed-rate bonds with a remaining maturity of one year or longer and with amounts outstanding of at least the equivalent of U.S. \$25 million.



# Index Descriptions

Third Quarter 2012

**Consumer Price Index (CPI)** is an inflationary indicator that measures the change in the cost of a fixed basket of products and services, including housing, electricity, food, and transportation.

**DJ-AIG Commodity Index** is composed of futures contracts on physical commodities. It is composed of commodities traded on U.S. exchanges, with the exception of aluminum, nickel, and zinc, which trade on the London Metal Exchange (LME).

**FTSE EPRA/NAREIT Global Real Estate Index** is designed to represent general trends in eligible real estate equities worldwide. Relevant real estate activities are defined as the ownership, disposition and development of income-producing real estate. The Index series includes a range of regional and country indices.

**HFRI Distressed Securities Index** is an equally weighted index that represents strategies that invest in, and may sell short the securities of companies where the security's price has been, or is expected to be, affected by a distressed situation as reported by the hedge fund managers listed within the Hedge Fund Research (HFR) database.

**HFRI Equity Hedge Index** is designed to represent the overall composition of the equity hedge (also known as long/short equity) universe. The Index is constructed with equally weighted composites of constituents as reported by the hedge fund managers listed within the Hedge Fund Research (HFR) database.

**HFRI ED: Distressed Restructuring Index** is designed to represent strategies which employ an investment process focused on corporate fixed income instruments, primarily on corporate credit instruments of companies trading at significant discounts to their value at issuance or obliged (par value) at maturity as a result of either formal bankruptcy proceeding or financial market perception of near term proceedings.

**HFRI Event Driven Index** is an equally weighted index that represents constituents investing in opportunities created by significant transactional events as reported by the hedge fund managers listed within the Hedge Fund Research (HFR) database.

**HFRI FOF Composite Index** includes over 800 constituent fund of funds, both domestic and offshore. Fund of Funds invest with multiple managers through funds or managed accounts. The strategy designs a diversified portfolio of managers with the objective of significantly lowering the risk (volatility) of investing with an individual manager. The Fund of Funds manager has discretion in choosing which strategies to invest in for the portfolio. A manager may allocate funds to numerous managers within a single strategy, or with numerous managers in multiple strategies.

**HFRI FOF Conservative Index** includes constituents that exhibit one or more of the following characteristics: seeks consistent returns by primarily investing in funds that generally engage in more "conservative" strategies such as Equity Market Neutral, Fixed Income Arbitrage, and Convertible Arbitrage; exhibits a lower historical annual standard deviation than the HFRI Fund of Funds Composite Index. A fund in the Index shows generally consistent performance regardless of market conditions.

**HFRI FOF Diversified Index** includes constituents that exhibit one or more of the following characteristics: invests in a variety of strategies among multiple managers; historical annual return and/or a standard deviation generally similar to the HFRI Fund of Fund Composite index; demonstrates generally close performance and returns distribution correlation to the HFRI Fund of Fund Composite Index. A fund in the Diversified Index tends to show minimal loss in down markets while achieving superior returns in up markets.

**HFRI FOF Strategic Index** includes FoFs that exhibit one or more of the following characteristics: seeks superior returns by primarily investing in funds that generally engage in more opportunistic strategies such as Emerging Markets, Sector specific, and Equity Hedge; exhibits a greater dispersion of returns and higher volatility compared to the HFRI Fund of Funds Composite Index.

**HFRI Fund Weighted Composite Index** is designed to represent the performance of domestic and offshore hedge funds across all strategies with the exception of fund of funds. Comprised of over 2000 hedge funds, it is a fund weighted index in that all funds, regardless of assets under management or other factors, are given an equal weighting.

**HFRI Merger Arbitrage Index** is designed to represent managers who utilize a merger or risk arbitrage investment strategy by investing in securities of companies that are the subject of some form of extraordinary corporate transaction, including acquisition or merger proposals, exchange offers, cash tender offers and leveraged buy-outs.

**HFRI Convertible Arbitrage Index** is designed to represent managers who utilize convertible arbitrage strategies where, in an effort to capitalize on relative pricing inefficiencies, managers will purchase long positions in convertible securities, generally convertible bonds, convertible preferred stock or warrants, and hedge a portion of the equity risk by selling short the underlying common stock.

**HFRI Distressed Securities Index** is designed to represent the overall composition of the distressed strategy hedge fund universe. The Index is asset weighted based on the distribution of assets in the hedge fund industry.



# Index Descriptions

Third Quarter 2012

**HFEX Equity Hedge Index** is designed to represent managers who utilize a long/short equity approach to investing with portfolio exposures anywhere from net long to net short depending on market conditions. Equity hedge managers' source of return is similar to that of traditional stock pickers on the upside, but they use short selling and hedging to attempt to outperform the market on the downside. Stock index put options are also often used as a hedge against market risk.

**HFEX Equity Market Neutral Index** is designed to reflect the performance of Equity Market Neutral strategies which employ sophisticated quantitative techniques of analyzing price data to ascertain information about future price movement and relationships between securities and select securities for purchase and sale. These can include both Factor-based and Statistical Arbitrage/Trading strategies. Equity Market Neutral Strategies typically maintain net equity market exposure no greater than 10% long or short.

**HFEX Event Driven Index** is designed to represent hedge fund managers who seek investment opportunities created by significant transactional events, such as spin-offs, mergers and acquisitions, industry consolidations, liquidations, recapitalizations and share buybacks and other extraordinary corporate transactions.

**HFEX Global Hedge Index** is designed to be representative of the overall composition of the hedge fund universe. It is comprised of eight strategies: convertible arbitrage, distressed securities, equity hedge, equity market neutral, event driven, macro, merger arbitrage, and relative value arbitrage. The Index is asset weighted based on the distribution of assets in the hedge fund industry.

**HFEX Macro Index** is designed to represent hedge investment strategies that generally employ a top-down global approach that concentrates on forecasting how global macroeconomic and political events affect the valuations of financial instruments. Macro strategies attempt to identify extreme price valuations in stock markets, interest rates, foreign exchange rates and physical commodities, and make leveraged bets on the anticipated price movements in these markets.

**HFEX Merger Arbitrage Index** is designed to reflect the performance of Merger Arbitrage strategies which employ an investment process primarily focused on opportunities in equity and equity related instruments of companies which are currently engaged in a corporate transaction.

**HFEX Relative Value Arbitrage Index** is designed to represent investment managers who maintain positions in which the investment thesis is predicated on realization of a valuation discrepancy in the relationship between multiple securities. Managers employ a variety of fundamental and quantitative techniques to establish investment theses, and security types range broadly across equity, fixed income, derivative or other security types.

**JPMorgan EMBI+ Index** is a market capitalization-weighted index that tracks returns for actively traded external debt instruments in emerging markets.

**JPMorgan Global Government Bond Index** is a total return, market capitalization-weighted index that is rebalanced monthly. The Index currently comprises the local currency, fixed rate coupon issues of 13 markets greater than 1-year in maturity.

**Merrill Lynch 1-3 Year Treasury Index** is an unmanaged index consisting of all public U.S. Treasury obligations having maturities from 1 to 2.99 years and reflects total return.

**Merrill Lynch High-Yield Bond Master II Index** tracks the performance of below investment grade U.S. dollar-denominated corporate bonds publicly issued in the U.S. domestic market.

**MSCI ACWI (All Country World Index) Index (net)** is a free float-adjusted market capitalization weighted index that is designed to measure the equity market performance of developed and emerging markets. The Index consists of 48 country indices comprising 23 developed and 25 emerging market country indices.

**MSCI ACWI ex-U.S. Index (net)** is a free float-adjusted market capitalization weighted index that is designed to measure the equity market performance of developed and emerging markets, excluding the U.S.

**MSCI EAFE Index (net)** is a free float-adjusted market capitalization index that is designed to measure the equity market performance of developed markets, excluding the U.S. & Canada.

**MSCI EAFE Small Cap Index (net)** is a free float-adjusted market capitalization index that is designed to measure the equity market performance of small companies within developed markets, excluding the U.S. & Canada, and includes companies that are in the Investable Market Index with a market capitalization below that of the companies in the Standard Index in a particular market.

**MSCI EM (Emerging Markets) Index (net)** is a free float-adjusted market capitalization index that is designed to measure equity market performance of emerging markets

**MSCI U.S. Investable Market Energy Index** represents the investable universe of energy companies in the U.S. equity market.



# Index Descriptions

Third Quarter 2012

**MSCI World Index (net)** is a free float-adjusted market capitalization weighted index that is designed to measure the equity market performance of developed markets. The Index consists of 23 developed market country indices.

*MSCI Indexes calculated on a net basis reinvest dividends after the deduction of withholding taxes, using (for international indices) a tax rate applicable to non-resident institutional investors who do not benefit from double taxation treaties.*

**NAREIT Equity Index** is an unmanaged index of all tax-qualified REITs listed on the NYSE, AMEX, and NASDAQ which have 75% or more of their gross invested book assets invested directly or indirectly in the equity ownership of real estate. Total return calculation for the NAREIT Equity Index include reinvestment of distributions.

**NCREIF Property Index** provides returns for institutional grade real estate held in a fiduciary environment in the United States. Client performance is generally reported one quarter in arrears unless otherwise noted.

**NCREIF Timberland Index** is a property-based index reporting returns for three regions of the U.S.: the South, Northeast and Pacific Northwest. In addition to total returns, the Index reports income and appreciation returns. Client performance is generally reported one quarter in arrears unless otherwise noted.

**Russell 1000 Growth Index** measures the performance of the large cap growth segment of the U.S. equity universe. The Index includes those Russell 1000 companies with higher price-to-book ratios and higher forecasted growth values.

**Russell 1000 Index** measures the performance of the large-cap segment of the U.S. equity universe. It is a subset of the Russell 3000 Index and includes approximately 1,000 of the largest securities based on a combination of their market cap and current index membership. The Russell 1000 represents approximately 92% of the U.S. market.

**Russell 1000 Value Index** measures the performance of the large cap value segment of the U.S. equity universe. The Index includes those Russell 1000 companies with lower price-to-book ratios and lower forecasted growth values.

**Russell 2000 Growth Index** measures the performance of the small cap growth segment of the U.S. equity universe. The Index includes those Russell 2000 companies with higher price-to-value ratios and higher forecasted growth values.

**Russell 2000 Index** measures the performance of the small-cap segment of the U.S. equity universe. The Russell 2000 Index is a subset of the Russell 3000 Index, representing approximately 10% of the total market capitalization of that Index. It includes approximately 2000 of the smallest securities based on a combination of their market cap and current index membership.

**Russell 2000 Value Index** measures the performance of small cap value segment of the U.S. equity universe. It includes those Russell 2000 companies with lower price-to-book ratios and lower forecasted growth values.

**Russell 2500 Index** measures the performance of the small to mid-cap segment of the U.S. equity universe, commonly referred to as "smid" cap. The Russell 2500 Index is a subset of the Russell 3000® Index. It includes approximately 2500 of the smallest securities based on a combination of their market cap and current index membership.

**Russell 2500 Value Index** measures the performance of the small to mid cap value segment of the U.S. equity universe. It includes those Russell 2500 companies with lower price-to-book ratios and lower forecasted growth values.

**Russell 3000 Growth Index** measures the performance of the broad growth segment of the U.S. equity universe. It includes those Russell 3000 companies with higher price-to-book ratios and higher forecasted growth values.

**Russell 3000 Index** measures the performance of the largest 3000 U.S. companies representing approximately 98% of the investable U.S. equity market.

**Russell 3000 Value Index** measures the performance of the broad value segment of U.S. equity value universe. It includes those Russell 3000 companies with lower price-to-book ratios and lower forecasted growth values.

**Russell Microcap® Index** measures the performance of the micro cap segment of the U.S. equity market. It includes 1,000 of the smallest securities in the small cap Russell 2000® Index based on a combination of their market cap and current index membership, and includes the next 1,000 smallest stocks.

**Russell Midcap® Growth Index** measures the performance of the mid-cap growth segment of the U.S. equity universe. It includes those Russell Midcap Index companies with higher price-to-book ratios and higher forecasted growth values.

**Russell Midcap® Index** measures the performance of the mid-cap segment of the U.S. equity universe. The Russell Midcap Index is a subset of the Russell 1000 Index. It includes approximately 800 of the smallest securities based on a combination of their market cap and current index membership. The Russell Midcap Index represents approximately 31% of the total market capitalization of the Russell 1000 companies.



# Index Descriptions

Third Quarter 2012

**Russell Midcap® Value Index** measures the performance of the mid-cap value segment of the U.S. equity universe. The Index includes those Russell Midcap Index companies with lower price-to-book ratios and lower forecasted growth values.

**S&P 500 Index** is a gauge of the U.S. equities market and includes 500 leading companies in leading industries of the U.S. economy.

**S&P GSCI** is a world-production weighted index composed of 24 commodity futures contracts. It is a composite index of commodity sector returns and represents an unleveraged investment through broadly diversified long positions in commodity futures.

**S&P Midcap 400 Index** tracks a diverse basket of medium-sized U.S. firms whose market capitalization usually range from approximately \$2 billion to \$10 billion.

**TUCS®** – Wilshire's Trust Universe Comparison Services® benchmark is a cooperative effort between Wilshire Associates and custodial organizations. Custodians submit asset positions and performance data to be pooled into universes of managed tax-exempt portfolios. TUCS is the most widely accepted benchmark for the performance of institutional assets.

**ThomsonOne Analytics Cumulative Vintage Year Performance** is an index comprised of pooled cash flows of private capital partnerships (Buyout, Venture and Mezzanine). Client performance is generally reported one quarter in arrears unless otherwise noted.

**Wilshire 5000 Index** represents the broadest index for the U.S. equity market, measuring the performance of all U.S. equity securities with readily available price data.

**Policy Index** – A custom benchmark consisting of a number of indices which are weighted based on the asset allocation targets within a client investment policy. The index measures the return of the asset allocation strategy if it were implemented using passive (index) portfolios.

**Actual Index** – A custom benchmark consisting of a number of indices which are weighted based on the allocation of each asset class within a client's overall structure at the beginning of each quarter. The index measures the return of the current asset allocation if it were implemented using passive (index) portfolios.

The difference between the Actual Index and the Policy Index measures the impact of the decision to allocate assets differently than the client's policy mandates (allocation effect). The difference between the Total Fund Return and the Actual Index measures how the management team performed versus a passive strategy (manager selection effect). The difference between Total Fund Return and the Policy Index measures both the allocation effect and the manager selection effect.

## INDEX COMPOSITE COMPONENTS

**Spliced Total Stock Mkt Composite Index:** Wilshire 5000 Index from 6/82 through 4/05. MSCI US Broad Market Index thereafter. **Spliced Total International Stock Mkt Composite Index:** Total International Composite Index through August 31, 2006; the MSCI EAFE + Emerging Markets Index through December 15, 2010; and the MSCI ACWI ex USA IMI Index thereafter. **Spliced Energy Index:** S&P 500 Index through November 30, 2000; S&P Energy Sector Index through May 31, 2010; MSCI All Country World Energy Index thereafter. **Barclays Aggregate Flt Adjusted Composite Index:** BC Aggregate Index through 12/31/2009; BC Aggregate Flt Adjusted Index thereafter. **Barclays Govt I-3 Year Flt Adjusted Composite Index:** Prior to 1/1/2010, this index is BC Govt I-3 Year Index. **Barclays I-5 Year G/C Flt Adjusted Composite Index:** Prior to 1/1/2010, this index is BC I-5 Year G/C Index. **Barclays LT G/C Flt Adjusted Composite Index:** Prior to 1/1/2010, this index is BC LT G/C Index. **BC LT Govt Flt Adjusted Composite Index:** Prior to 1/1/2010, this index is BC Long term Government Index. **Barclays LT Govt Flt Adjusted Composite Index:** Prior to 1/1/2010, this index is BC Long term Government Index. **Global Sustainability Spliced Index:** FTSE KLD Global Sustainability Index prior to 9/1/2010; MSCI World ESG Index thereafter. **SSGA Real Asset Composite Index:** 30% Dow Jones US Select REIT Index, 25% Goldman Sachs Commodities Index, 25% MSCI World Natural Resources Index, and 20% Barclays US TIPS Index. **Wellington DIH Composite:** 25% MSCI World Energy >\$3 Bil/ 10% MSCI World Metals & Mining >\$3 Bil/ 10% Agriculture, Forest Products & Livestock/3% HSBC Global Climate Change/ 3.5% MSCI IMI Gold & Precious Metal/ 1.5% S&P GSCI Precious Metals Total Return / 25% equal sector-weighted S&P Goldman Sachs Commodity/ 20% Barclays US TIPS I-10 Year / 2% Barclays Emerging Markets Tradable Government Inflation-Linked Bond. **Wellington SRA Composite:** 40% MSCI Energy \$3 B and above/15% MSCI Metals and Mining \$3 B and above/25% Equal Sector Weighted S&P GSCI Commodities Index/ and 20% Barclays TIPS. **S&P Completion Index:** Prior to 6/30/2005 this index is DJ Wilshire 4500 Index. **MSCI U.S. Mid Cap 450 Index:** History prior to May 16, 2003, reflects the S&P Midcap 400 Index.

Periods greater than one year are annualized.

Peer groups, performance, risk and equity analytics are provided by InvestmentMetrics, 2012. All rights reserved. Calculations are based on quarterly periods unless noted otherwise.

MPT (Modern Portfolio Theory) statistics are based on monthly data. Quarterly observations are utilized only when monthly data points are not available. Examples include: beta/correlation/standard deviation calculations.

Indices referenced in this report are unmanaged and cannot be invested in directly. Index returns do not reflect any investment management fees or transaction expenses. Index descriptions listed are representative and not all inclusive.

This report is not an offer, nor does it invite anyone to make an offer, to buy or sell securities. Information obtained from third parties is believed to be reliable; however, accuracy of the data is not guaranteed and may not have been independently verified. Unless otherwise noted, content is current as of the date indicated and subject to change without notice.

Commentary within includes the opinion of Prime Buchholz, is intended solely for our clients, and is not meant to provide tax or legal advice. Clients should consult a tax or legal professional for advice regarding their particular situation.

For modeling output: Prime Buchholz proprietary reporting is compiled utilizing analytics provided by InvestmentMetrics.

Clients may, at times, invest in managers or products that are not recommended by Prime Buchholz. Due diligence and monitoring of managers that are not Prime Buchholz recommended is less rigorous than the level applied to recommended managers. Reports provided to clients regarding managers that have not been recommended by us are for informational purposes only and do not necessarily constitute our endorsement of the manager.

Returns are provided by third-party sources and are net of investment management fees and gross of consulting fees unless otherwise stated. Performance may or may not reflect reinvestment of dividends and other earnings. Performance and market values are subject to change based on statement availability from the investment manager/custodian.

Past performance is not an indication of future results.





AUBURN UNIVERSITY  
OFFICE OF THE PRESIDENT

October 12, 2012

MEMORANDUM TO: Grant Davis, Secretary to  
Auburn University Board of Trustees

THROUGH: Donald L. Large, Jr., Executive Vice President and  
Chief Financial Officer

FROM: Sylvia Y. Huggins, Director  
Endowment Investment Office

SUBJECT: Auburn University Foundation Investment Committee Meeting

On September 14, 2012, an Auburn University Foundation Investment Committee meeting was held at the Alumni Center in the Gilmer Board Room from 8:00 to 2:30. Present at the meeting: Prime Buchholz, the endowment consultant; the Foundation Investment Committee; Gaines Lanier, AU Trustee Liaison, and endowment staff. A summary of the agenda and a description of the committee members are provided at Exhibit 1.

The consultant provided a review of global economic conditions impacting the current markets in the US, international developed and emerging market economies by highlighting major indices and key metrics. The August 31, 2012 performance of Auburn University and Auburn University Foundation was reviewed and discussed. A historical perspective comparison study of a traditional asset allocation (65/35) versus a diversified allocation over periods of varying endpoints was presented by the consultant. Steadfast International Ltd, a newly hired manager, gave a presentation. On a recommendation from the consultant, the investment committee approved unanimously to terminate two managers.

The Board of Trustees has delegated authority for managing the University's investments to the Auburn University Foundation Investment Committee as outlined in the **Auburn University Endowment Fund Investment Policy Statement (IPS)** which was approved April 20, 2012. Key elements of the policy provide that the Foundation Investment Committee shall recommend and implement investment policy (included at Exhibit 2) with regard to asset allocation, manager selection, and portfolio supervision. The Board of Trustees shall approve written investment policy changes and be informed of written investment strategy and of tactical allocation changes among asset classes as indicated in the **(IPS) Responsibility Table**, Appendix 3.

# AUF Investment Committee

- ▶ Oversight of Investments and Manager Due Diligence
- ▶ Establish Investment and Spending Policy
- ▶ Set Strategic Asset Allocation
- ▶ Select Investment Managers





# AUF Investment Committee Members



**Joe W. Forehand '71, Chairman of Investment Committee**  
Dallas, Texas

Forehand graduated from Auburn in 1971 with a bachelor's degree in industrial engineering. He served as Accenture's CEO from 1999 to 2004, leading Accenture through a period of significant change and growth. Forehand received the Carl S. Sloane Award for Excellence in Management Consulting and the Morgan Stanley Leadership Award for Global Commerce. He has also been recognized by the Institute of Industrial Engineers with the Captains of Industry Award. Forehand currently serves on the Aricent Board of Directors and is a senior advisor for Kohlberg Kravis Roberts & Co. He is a member of the 1856 Society, Engineering Eagles Society and the State of Alabama Engineering Hall of Fame. Forehand is married to Gayle, a 1970 alumna of Auburn, and they have two children.



**W. Allen Reed '70, Vice Chairman of Investment Committee**  
Johns Island, South Carolina

Reed graduated from Auburn in 1970 with a bachelor's degree in aviation management. He went on to obtain an MBA from Georgia State University in 1976. He retired in April 2006 as chairman of the GM Asset Management Company, the investment management subsidiary of General Motors responsible for managing \$165 billion in benefit fund assets for GM and others. Reed served as president and CEO from 1994–2005. He also served as chairman and CEO of the GM Trust Bank and as corporate vice president of General Motors Corporation until 2005. He is a member of the Engineering Eagles Society and the Samford Society. Reed is married to Martha '69, and they have two children.



**AUBURN**  
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# AUF Investment Committee Members



**Michael A. McLain (Mike) '72**  
**Atlanta, Georgia**

McLain graduated from Auburn in 1972 with a bachelor's degree and from Furman University with a master's in Business Administration. He is currently CEO and managing partner of ICON Investment Partners in Atlanta, Ga. Prior to forming ICON Investment Partners, McLain was president, CEO and director of Acaro Technologies, which was sold in April 2008. He has also served as president of DowBrands Europe for three years and was brought back to lead its turnaround. McLain currently serves as a director of Playcore and Timex, chairman of the Porex Corporation Board, and executive chairman of Thermadyne. He is a former Park Tudor School Board chairman, and a former board member of Community Hospitals, Pleasant Run Children's Homes, Center for Leadership Development, and the Furman Advisory Board. He is currently a member of the College of Business Shareholders' Club and the Auburn Alumni Association, and a former member of the Business Advisory Council. He is married to Jane, also a 1972 alum, and has three children.



**Tom Clement '66**  
**Montgomery, Alabama**

Clement graduated from Auburn in 1966 with a bachelor's degree in building science. He also received an MBA from Auburn University Montgomery in 1977. Clement is president and founder of The Clement Group, LLC, a construction management firm. He serves on the AUM Alumni Board and AUM Advisory Board. Clement is a member of the Petrie Society, the 1856 Society, AUM 1967 Society, Honor Society of Phi Kappa Phi, and was involved with the recent campaign through service on the National Campaign Committee and Montgomery Regional Campaign Committee. Auburn University Montgomery's School of Business building was renamed Tom F. Clement Hall in 2006. He is married to Frances and has two children.



**AUBURN**

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# AUF Investment Committee Members



**Charles D. Miller '80**  
Birmingham, Alabama

Miller graduated from Auburn in 1980 with a bachelor's degree in civil engineering and later completed the Wharton Executive Program on Financial Management at the University of Pennsylvania. He has served as executive vice president and chief financial officer for Harbert Management Corporation (HMC) since 2002. Prior to joining HMC in 1994, Miller worked with Harbert Corporation where he played a key role in the firm's transformation from an operating conglomerate.

During his career, Miller has served in various treasury and financial management roles, including treasurer, chief financial officer and director of corporate acquisitions. His current responsibilities include the management of all fundraising and investor relations operations, along with credit and treasury functions across Harbert Management Corporation. Before joining Harbert Corporation, Miller held various project management positions with Brown & Root in Houston, Texas and Venezuela.



**Dwight Wiggins '62**  
Scottsdale, Arizona

Wiggins graduated from Auburn with bachelor's and master's degrees in mechanical engineering. He rose through the ranks at Exxon in positions of increasing responsibility over nearly three decades before moving to Tosco Refining as the firm's president in 1993. He was also named as executive vice president. He has served on the New York regional campaign committee, the College of Engineering Leadership Team, and as chair of Engineering's Development Committee. He is a member of the 1856 Society, the Petrie Society, and the Engineering Eagles Society. His legacy will be recognized as well through the Dwight L. Wiggins Mechanical Engineering Hall, named for his father. He is married to Sara (Sally) '62, and they have two children.



**AUBURN**  
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OFFICE OF DEVELOPMENT

# AU Trustee Liaison - AUF Investment Committee



**Gaines Lanier, District 5 '74  
Lanett, AL**

Lanier was appointed as member of the Board of Trustees in 2007. His term expires on May 28, 2014.

Lanier graduated from AU in 1974 with a bachelor of science in business administration. He earned a football scholarship to Auburn and lettered at defensive tackle in 1972, 1973 and 1974, playing for AU legend Ralph "Shug" Jordan. He has served as a member of various business and civic organizations and boards, including the Auburn University College of Business Advisory Board, the Board of Trustees for the Chattahoochee Valley Educational Foundation and the Board of Directors for the Roosevelt Warm Springs Institute for Rehabilitation. Lanier has two daughters, Ashley and Lindsey, both Auburn graduates. He and his wife, Sonia, live in Lanett, Ala.



**AUBURN**  
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**AUBURN UNIVERSITY ENDOWMENT  
FUND  
INVESTMENT POLICY STATEMENT**

**APPROVED APRIL 20, 2012**

## Table of Contents

| Section   | Page |
|---|------|
| I Management of Auburn University Endowment Investments                     |      |
| A Investment Committee Functions  | 2    |
| B Specific Functions of the Investment Committee                            | 2    |
| II Endowment Investment Policy and Guidelines                               |      |
| A Investment Objective  | 3    |
| B Asset Allocation  | 3    |
| C Asset Allocation Review and Rebalancing Procedure                         | 5    |
| D Manager Selection, Performance Measurement,<br>Monitoring, and Evaluation | 5    |
| E Guidelines for Corrective Action  | 6    |
| F Endowment Spending Policy   | 6    |
| G Gift Policy   | 7    |
| H Custodian and Depository Activities                                       | 7    |
| Appendices  |      |
| 1 Asset Allocation Input Assumptions  |      |
| 2 Sample Spending Calculation   |      |
| 3 Table of Responsibilities by Function                                     |      |

Auburn University, (the “University”), investments will be managed by the Auburn University Foundation (the “Foundation”) Investment Committee and University staff in accordance with the policies established by the Board of Trustees (the “Board”). Policies currently governing significant areas of investment management are based upon actions of the Board of Trustees and the Investment Committee.

## **I. Management of University Investments**

The Board of Trustees has delegated responsibility for the University’s investments to the Foundation Investment Committee, which shall recommend and implement investment policy with regard to asset allocation, manager selection, and portfolio supervision. In order to facilitate communication and reporting between the Board and the Foundation Investment Committee, a member of the Board shall be appointed as a liaison to the Committee and shall serve as a voting non-director on that committee. The liaison reports to the Board the status regarding the University’s investment policies and results; and reports any recommended changes in investment policy to the Board.

### **A. Investment Committee Functions**

1. The Investment Committee’s principal function is to develop and recommend to the Board such investment and investment related policies, as it deems appropriate.
2. No member of the Investment Committee shall have or appear to have a conflict of interest that impairs or appears to impair the member’s ability to exercise independent and unbiased judgment in the good faith discharge of his or her duties.
3. The Investment Committee will review regularly all investments of the University.
4. The liaison to the Investment Committee will make regularly scheduled reports to the Board of Trustees.
5. The Investment Committee recommends to the Board appropriate policies and procedures for custodianship and access to securities held by the funds, as it may deem appropriate.
6. The Assistant Treasurer, or his/her designee, is the Secretary of the Committee and shall keep minutes of the actions of the Committee.
7. The Committee may engage an investment consultant to work with staff, and advise staff and the Committee, on investment management issues including, but not limited to investment strategy, asset allocation, market trends, investment manager and custodian selection, manager and custodian evaluation criteria, investment performance evaluation, and any other appropriate matters.

### **B. Specific Functions of the Investment Committee**

1. Establish investment objectives for the Endowment Pool.



2. Set asset allocation and manager structure policies for the investments.
3. Establish and continue to update the investment policy, and report the recommended changes to the Board.
4. Select, and as appropriate terminate, investment managers, fund custodian, and the investment consultant for the investments.
5. Establish, monitor, and update the investment process.
6. Review investment performance against established objectives.
7. Review, at least annually, investment activity to ensure compliance with investment policy.
8. Establish and propose to the Board, the spending policy for the Endowment Pool.

## **II. Endowment Investment Policy and Guidelines**

The goal for AU's Endowment Pool is to provide a real total return that preserves the purchasing power of the Endowment's assets, while generating an income stream to support the academic activities of the University. The Endowment's real total return will be sought from an investment strategy that provides an opportunity for superior total returns within acceptable levels of risk and volatility.

### **A. Investment Objective**

For the long-term, the primary investment objective for the Endowment Pool is to earn a total return (net of portfolio management fees), within prudent levels of risk, which is sufficient to maintain in real terms the purchasing power of the Endowment's assets and support the defined spending policy.

### **B. Asset Allocation**

To achieve its investment objective, the Fund will allocate among several asset classes with a bias toward equity and equity-like investments due to their higher long-term return expectations. Other asset classes may be added to the Fund to enhance returns, reduce volatility through diversification, and/or offer a broader investment opportunity set.

The domestic equity segments are intended to provide long-term growth and offer high expected real returns and liquidity. The international equity segment is intended to enhance return and control risk by reducing the Funds' reliance on domestic financial markets. Private Equity may provide even higher return potential by focusing on opportunities in less efficient and more illiquid markets. Diversified Hedge Strategies are employed to offer market comparable returns with lower expected volatility. Fixed income provides stability and protection in deflationary environments. Real Assets provide the portfolio with a diversified hedge against inflation as well as a strong yield



component. Lastly, Cash provides short-term liquidity and serves as a funding source for distributions and rebalancing.

The Fund will be diversified both by and within asset classes. The purpose of diversification is to provide reasonable assurance that no single security, or class of securities, will have a disproportionate impact on the performance of the total fund. As a result, the risk level associated with the portfolio investment is reduced.

The strategic asset allocation adopted by Board is:

| <b>ASSET CLASSES</b>                           | <b>Target<br/>Allocation</b> | <b>Range</b> |
|--|------------------------------|--------------|
| <b>Equity</b>                                  |                              |              |
| Global Equity                                  | 36.5                         | 26.5 - 46.5  |
| Global Private Capital                         | 12.5                         | 8.0 - 16.0   |
| <b>Flexible Capital</b>                        |                              |              |
| Absolute Return                                | 11.0                         | 6.0 - 16.0   |
| Global Long/Short                              | 14.0                         | 9.0 - 19.0   |
| <b>Inflation Hedging/Real<br/>Assets</b>       |                              |              |
| Natural Resources, Real<br>Estate, Commodities | 13.0                         | 8.0 - 18.0   |
| U.S. TIPS                                      | 2.0                          | 0.0 - 4.5    |
| <b>Credit</b>                                  |                              |              |
| Core Bonds                                     | 6.0                          | 4.0 - 13.0   |
| <b>Uncorrelated (Dollar Hedge)</b>             |                              |              |
| Non-U.S. Government                            | 5.0                          | 2.0 - 8.0    |
| <b>Liquidity</b>                               |                              |              |
| Cash   | 0.0                          | 0.0 - 5.0    |
| <b>TOTAL</b>                                   | <b>100.0</b>                 |              |

Auburn University has modeled the expected return and volatility of the portfolio. The assumptions for the endowment's portfolio are included in Appendix 1.

**C. Asset Allocation Review and Balancing Procedure**

1. The Investment Committee will review the strategic allocation in the six asset classes, as well as the allocation to various styles of managers within these asset classes, at least annually.
2. Cash flows into and out of the portfolio (i.e., new gifts and spending) shall be allocated in a manner that is consistent with asset allocation policies. Rebalancing the portfolio by means of liquidating assets managed by investment managers will be the exception, and only done, when recommended by the investment consultant. Asset allocation reports will be provided to the Committee on a quarterly basis.

**D. Manager Selection, Performance Measurement, Monitoring, and Evaluation**

Auburn University seeks managers who demonstrate effective strategies, sustainable advantages, and high-quality organizational structures. The Fund expects its active managers to generate superior, relative risk-adjusted performance, net of all expenses. Passive mandates may be used in more efficient (occasionally in less efficient) segments of the capital markets, for the purpose of gaining market exposure. The committee shall determine the respective maximum allocations to single, active managers.

Attractive firm characteristics include:

- i. strong reputation in the marketplace and a meaningful, high-quality, institutional client base;
- ii. aligned interests (e.g. significant amount of principal/employee dollars invested in the funds);
- iii. stable and experienced professional team and principals/employees own equity in the firm
- iv. controlled growth and a manageable level of assets under management; and
- v. competitive long-term performance among peers.
- vi. annual audits by an independent audit firm.

Performance (net of fees) will be calculated on a quarterly basis by the consultant.

In addition to reporting time-weighted total returns for each manager and the Pool, a comparison is made with relevant market benchmarks as well as the composite returns for other money managers with similar philosophies to those managers investing for the Pool. Managers should add value above these benchmarks. Reports will include historical data in order to evaluate short-term results against longer-term strategies.

**E. Guidelines for Corrective Action**

Corrective action should be taken as a result of an ongoing investment managers review process. The following are instances where corrective action or termination may be in order:

1. Major organizational changes in a firm, including any changes in portfolio managers, may require a new contract and interview process. Failure on the part of the Investment Manager to notify the Committee of such changes is grounds for termination. At all times, communication with the managers should be open and informative. Investment managers should be willing and able to meet at least annually with the Committee.
2. Violation of terms of contract constitutes grounds for termination.
3. As part of its overall asset allocation strategy, the Committee will choose managers with certain styles and approaches to provide portfolio diversification. Therefore, it is critical that managers adhere to the original intent of the Committee at the time they are engaged. Any significant changes in investment approach may be grounds for termination.
4. The Committee will not, as a rule, terminate a manager on the basis of short-term performance. If the organization is sound and the firm is adhering to its style and approach, the Committee will allow a sufficient interval of time over which to evaluate performance. The Committee's consultant will provide insight regarding the appropriate length of time. The manager's performance will be viewed in light of the firm's particular style and approach, keeping in mind at all times the Pool's diversification strategy and, as well as, other organizational and relationship issues.
5. Investment managers may be replaced at any time as part of the overall restructuring of the Endowment Pool
6. Other events or circumstances that are deemed to be in the best interest of the University.

**F. Endowment Spending Policy**

The long-term objective of the endowment spending policy is to maintain the purchasing power of each endowment with the goal of providing a predictable and sustainable level of income to support current operations. Under this policy, spending for a given year equals 80% of spending in the previous year, adjusted for inflation (CPI within a range of 0% and 6%), plus 20% of the long-term spending rate (4.0%) applied to the twelve month rolling average of market values. This spending policy has two implications. First, by incorporating the previous year's spending, the policy eliminates large fluctuations and so enables the University to plan for operating budget needs. Second, by adjusting spending toward a long-term

rate of 4.0%, the policy ensures that spending levels will be sensitive to fluctuating market value levels thereby providing stability in long-term purchasing power.

The annual administrative fee is calculated each year using the spending model described above using a rate authorized by the Board, currently 1.0%.

An example of the spending calculation can be found in Appendix 2.

**G. Gift Policy**

It is anticipated that from time to time the University will receive gifts in the form of marketable securities. In such event, the Endowment Investment Office will liquidate the securities as soon as possible. In the event that the securities are restricted from sale for a designated period of time due to regulatory reasons, the University will hold said securities until the restricted period has elapsed and then liquidate the securities as soon as possible thereafter. The University will make no attempt to add value to the Pool by holding gifted securities.

**H. Custodian and Depository Activities**

The custodian and depository activities of the endowment pool, including agreements with any banks for the temporary, short-term investment of cash and equivalents will be subject to annual review by the Committee to assure that the University is receiving competitive rates and services.

Appendix 1

Asset Allocation Input Assumptions  
Expected Returns, Risks, and Correlations

|                             | Expected Nominal Return | Expected Standard Deviation | Domestic Public Equity | Non-U.S. Developed Equity | Emerging Markets | Global Private Equity | Flexible Capital | Natural Resources (Private) | Natural Resources (Public) | Commodities | Real Estate (Private) | Real Estate (Public) | U.S. TIPS | Core Bonds | Long Gov/Corp | High Yield | Municipal Bonds | U.S. Treasuries (long-term) | Non-U.S. Government Bonds | Cash |
|-----------------------------|-------------------------|-----------------------------|------------------------|---------------------------|------------------|-----------------------|------------------|-----------------------------|----------------------------|-------------|-----------------------|----------------------|-----------|------------|---------------|------------|-----------------|-----------------------------|---------------------------|------|
| Domestic Public Equity      | 8.8                     | 20.0                        | 1.00                   |                           |                  |                       |                  |                             |                            |             |                       |                      |           |            |               |            |                 |                             |                           |      |
| Non-U.S. Developed Equity   | 8.8                     | 20.0                        | 0.82                   | 1.00                      |                  |                       |                  |                             |                            |             |                       |                      |           |            |               |            |                 |                             |                           |      |
| Emerging Markets            | 10.8                    | 28.0                        | 0.70                   | 0.68                      | 1.00             |                       |                  |                             |                            |             |                       |                      |           |            |               |            |                 |                             |                           |      |
| Global Private Equity       | 12.5                    | 30.0                        | 0.69                   | 0.58                      | 0.49             | 1.00                  |                  |                             |                            |             |                       |                      |           |            |               |            |                 |                             |                           |      |
| Flexible Capital            | 8.0                     | 12.0                        | 0.82                   | 0.73                      | 0.81             | 0.74                  | 1.00             |                             |                            |             |                       |                      |           |            |               |            |                 |                             |                           |      |
| Natural Resources (Private) | 8.5                     | 22.0                        | 0.03                   | 0.03                      | 0.04             | 0.11                  | 0.14             | 1.00                        |                            |             |                       |                      |           |            |               |            |                 |                             |                           |      |
| Natural Resources (Public)  | 8.5                     | 22.0                        | 0.70                   | 0.72                      | 0.71             | 0.50                  | 0.72             | 0.00                        | 1.00                       |             |                       |                      |           |            |               |            |                 |                             |                           |      |
| Commodities                 | 8.0                     | 22.0                        | 0.07                   | 0.15                      | 0.13             | 0.16                  | 0.16             | -0.03                       | 0.70                       | 1.00        |                       |                      |           |            |               |            |                 |                             |                           |      |
| Real Estate (Private)       | 8.5                     | 22.0                        | 0.09                   | 0.12                      | -0.04            | 0.26                  | -0.01            | -0.04                       | 0.20                       | 0.23        | 1.00                  |                      |           |            |               |            |                 |                             |                           |      |
| Real Estate (Public)        | 8.5                     | 22.0                        | 0.62                   | 0.56                      | 0.41             | 0.37                  | 0.49             | -0.11                       | 0.54                       | 0.18        | 0.16                  | 1.00                 |           |            |               |            |                 |                             |                           |      |
| U.S. TIPS                   | 3.5                     | 5.0                         | -0.30                  | -0.24                     | -0.12            | -0.16                 | -0.15            | -0.05                       | -0.14                      | 0.22        | 0.06                  | 0.03                 | 1.00      |            |               |            |                 |                             |                           |      |
| Core Bonds                  | 4.3                     | 6.5                         | -0.13                  | -0.13                     | -0.31            | -0.22                 | -0.14            | 0.12                        | -0.41                      | -0.20       | -0.13                 | 0.06                 | 0.59      | 1.00       |               |            |                 |                             |                           |      |
| Long Gov/Corp               | 4.5                     | 11.0                        | -0.14                  | -0.12                     | -0.31            | -0.16                 | -0.17            | 0.11                        | -0.39                      | -0.25       | -0.09                 | 0.04                 | 0.45      | 0.91       | 1.00          |            |                 |                             |                           |      |
| High Yield                  | 7.0                     | 11.0                        | 0.63                   | 0.56                      | 0.54             | 0.36                  | 0.66             | -0.08                       | 0.62                       | 0.11        | -0.12                 | 0.63                 | 0.08      | 0.08       | 0.02          | 1.00       |                 |                             |                           |      |
| Municipal Bonds             | 3.8                     | 7.5                         | -0.01                  | 0.00                      | -0.15            | -0.12                 | 0.03             | 0.12                        | -0.13                      | -0.10       | -0.15                 | 0.13                 | 0.66      | 0.82       | 0.76          | 0.26       | 1.00            |                             |                           |      |
| U.S. Treasuries (long-term) | 4.3                     | 10.0                        | -0.32                  | -0.30                     | -0.45            | -0.24                 | -0.35            | 0.12                        | -0.59                      | -0.33       | -0.04                 | -0.15                | 0.40      | 0.84       | 0.94          | -0.23      | 0.65            | 1.00                        |                           |      |
| Non-U.S. Government Bonds   | 4.5                     | 10.5                        | -0.13                  | 0.18                      | -0.25            | -0.17                 | -0.16            | 0.00                        | -0.14                      | -0.03       | -0.08                 | -0.01                | 0.27      | 0.51       | 0.47          | -0.04      | 0.39            | 0.41                        | 1.00                      |      |
| Cash                        | 3.0                     | 2.0                         | 0.08                   | -0.01                     | -0.01            | 0.08                  | 0.15             | 0.35                        | 0.02                       | 0.13        | 0.21                  | -0.08                | -0.06     | 0.18       | 0.02          | -0.13      | 0.10            | 0.03                        | -0.02                     | 1.00 |

\* Expected returns are for the next 10-15 years; correlations are based on nominal returns from January 1, 1987-December 31, 2011

## Appendix 2

### Sample Spending Calculation

In accordance with the Auburn University Endowment Fund Investment Policy, the endowment spending is calculated using the following formula:

$$[(80\%)(\text{prior year's distribution})(1+\text{CPI})] + [(20\%)(\text{twelve-month rolling average market values})(4.0\%)]$$

### Spending Calculation Example:

A hypothetical endowment with a \$1,000,000 gift value has a prior year distribution of \$40,000. CPI was 3.4%. The twelve-month rolling average of market values is \$1,080,000.

$$[(.80) (\$40,000)(1+.034)] + [(.20)(\$1,080,000)(.04)] = \$41,728.$$



# Appendix 3

Responsibility Table

| FIDUCIARY LEVEL               | WRITTEN INVESTMENT POLICY | WRITTEN INVESTMENT STRATEGY | TACTICAL ALLOCATION AMONG ASSET CLASSES | STRATEGY WITHIN AN ASSET CLASS | MANAGER & FUND SELECTIONS | SECURITY SELECTION |
|-------------------------------|---------------------------|-----------------------------|---|--------------------------------|---------------------------|--------------------|
| BOARD OF TRUSTEES             | APPROVES                  | INFORMED                    | INFORMED                                |                                |                           |                    |
| INVESTMENT COMMITTEE          | RECOMMENDS                | APPROVES                    | APPROVES                                | APPROVES                       | APPROVES                  | INFORMED           |
| INVESTMENT CONSULTANT & STAFF | RECOMMENDS                | RECOMMENDS                  | RECOMMENDS                              | RECOMMENDS                     | RECOMMENDS AND MONITORS   | MONITORS           |
| INDIVIDUAL MANAGERS           |                           |                             |   |                                |                           | APPROVES           |

ADVANCEMENT COMMITTEE

COMPREHENSIVE CAMPAIGN REVIEW

AUBURN MONTGOMERY COMMITTEE  
AND  
ACADEMIC AFFAIRS COMMITTEE

RESOLUTION

PROPOSED CHANGES TO THE FACULTY PERSONNEL POLICIES

WHEREAS, the faculty personnel policies included in the *Faculty Handbook* reflect Auburn University at Montgomery policies and information; and

WHEREAS, the proposed changes to the faculty personnel policies have been recommended by the Auburn University at Montgomery Faculty Senate and have received the approval of the Provost and the Chancellor; and

WHEREAS, the Board has historically and will continue to define policies related to appointment, promotion, tenure and dismissal of faculty, but development and approval of procedures to implement those policies is more properly the responsibility of the President or those duly authorized by the President.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of Auburn University that Jay Gogue, President, or such other person as may be acting as President, be and the same is hereby authorized to revise the contents of the faculty personnel policies as outlined in Attachment A and is delegated the authority to approve procedures for the administration of these policies.



AUBURN

MONTGOMERY

OFFICE OF THE CHANCELLOR

INTERNAL MEMORANDUM

23 October 2012

To: Dr. Jay Gogue  
President

From: John G. Veres III *JGV*

Subject: Revised Policies for Auburn University at Montgomery

I am writing to request that Auburn University at Montgomery's revised Non-Continuation of Employment, Dismissal, Termination Because of Financial Exigency, Appointment and Tenure of More Than One Member of the Same Family, and Professional Improvement Leave policies be presented to the Board of Trustees and included on the agenda for the meeting scheduled for 16 November 2012. Auburn Montgomery Provost Joe King and General Counsel Lee Armstrong have been communicating to ensure consistency between the proposed revisions to the Auburn University policies planned for presentation to the Board of Trustees and the corresponding versions of the proposed AUM policies recommended by our Faculty Senate on 9 April 2012. I respectfully request that space be reserved on the agenda for joint consideration of the proposed policy by the Academic Affairs Committee and the Auburn Montgomery Committee. I am attaching a red-line copy of the policies to facilitate your review.

Thank you for your kind attention.



- 1 Part IV of the Faculty Handbook follows. Changes to the portion of the text for consideration by the
- 2 Board are highlighted in yellow. Some changes reflect deletions; other changes reflect additions.
- 3 Deletions are red and marked through; additions are black and are underlined.
- 4 Sections of Part IV with changes for Board consideration include:
- 5 Section N: Non-Continuation of Appointment
- 6 Section O: Dismissal
- 7 Section P: Termination Because of Financial Exigency
- 8 Section Q: Appointment and Tenure of More Than One Member of the Same Family
- 9 Section R: Professional Improvement Leave of Absence
- 10 These changes approved by AUM Faculty Senate and Faculty Council on April 9, 2012

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 concurrence of the Chancellor. In the case of a probationary faculty appointment, the letter of appointment must specify the last term during which the candidate may apply for promotion and/ or tenure; in addition, the letter of

60 appointment must specify during which semester the third year review shall take place. In the case of  
61 appointment to the clinical and lecturer/senior lecturer faculty, the letter of appointment must specify the  
62 length of the appointment and other conditions which may apply to eligibility for reappointment.

63  
64 Auburn University at Montgomery recognizes that its success as an educational institution depends largely  
65 on its ability to attract and retain well-educated, talented, and dedicated faculty members. Thus, within  
66 available resources, it rewards individuals who demonstrate high-quality performance of academic duties by  
67 granting tenure, promotions, and salary increases.

### 68 69 C. ACADEMIC RANKS

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

76  
77 The following general considerations shall apply to appointment or promotion to academic ranks:

78  
79 a. **Instructor:** Appointment to the rank of Instructor should be based on academic achievement and other  
80 appropriate indications of the candidate's ability to perform successfully the professional duties assigned.  
81 An instructor who has served on a full-time appointment may be considered on the basis of highly  
82 meritorious performance and strong evidence of professional development for promotion to the rank of  
83 assistant professor. Whether promoted or not, during his or her sixth year of service an instructor must be  
84 nominated for tenure or given due notice of noncontinuation no later than August 16 of his or her sixth  
85 year of service.

86  
87 b. **Assistant Professor:** Appointment or promotion to the rank of Assistant Professor should be based  
88 upon demonstrated academic ability and potential for professional growth. The candidate should have  
89 completed a terminal degree appropriate for the discipline or have the equivalent in training and  
90 experience. ("Terminal degree" refers to the highest degree awarded in a discipline. The doctorate is the  
91 terminal degree for most disciplines represented at Auburn University at Montgomery, although exceptions  
92 may be made.)

93  
94 c. **Associate Professor:** Appointment or promotion to the rank of Associate Professor is based upon actual  
95 performance as well as demonstrated potential for further development. Above all, there must be objective  
96 evidence that the individual is growing professionally and is contributing to his/her field. Associate  
97 Professor is a high academic rank, and promotion to this rank, in and of itself, carries no presumption of  
98 future promotion. For a faculty member to reach the Associate Professor rank, he or she should have the  
99 terminal degree appropriate to the discipline. In exceptional cases, an Assistant Professor without a  
100 terminal degree who has gained distinction as a publishing scholar or creative artist may be promoted to the  
101 rank of Associate Professor.

102  
103 d. **Professor:** Appointment or promotion to the rank of Professor implies recognition of the individual by  
104 associates and students as an accomplished teacher and by peers, within and outside the University, as a  
105 productive scholar or creative artist. The individual must have demonstrated, through scholarly papers,  
106 publications, applied research, and/or artistic work, the ability to communicate to professional peers the  
107 knowledge and 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, public and

professional service, and/or administrative service to professional societies. To some extent, the modes of scholarly production will be determined by the nature of the individual's particular discipline and its relation to the several missions of the University. While peer review is crucial, it should be remembered that in some disciplines, peers may include fellow professionals outside the academic community. All candidates must have the appropriate terminal degree.

#### D. FACULTY WORKLOAD POLICY

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

##### Assumptions:

- Since teaching is the primary mission of AUM, paramount in the assignment of workloads is furthering the education of our students.
- Assignments are made with an understanding of mutual trust and in an effort to be fair and equitable.
- The mission of the various schools and the departments within those schools are often unique and require flexibility in workload assignments.
- A primary responsibility of Deans and Department Heads is to assign, monitor, and evaluate the workload.
- Department Heads are in the best position to oversee the performance in their areas and have the primary responsibility for assigning the workloads.
- A faculty appointment requires workload effort in all three areas - teaching, scholarship, and service.

##### Guidelines for Workload:

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

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

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

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

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

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

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

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

#### E. CLASS SCHEDULING GUIDELINES

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

#### F. PERIODIC PERFORMANCE REVIEW

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

These evaluations are intended to inform faculty members of any significant achievements or deficiencies in their performance that may enhance or impede their progress toward higher academic rank or tenure. In evaluating faculty members who have not achieved tenure or promotion to the rank of Professor, the Department Head should take care to relate the faculty member's performance to the promotion criteria and/or to factors affecting tenure. If the faculty member does not agree with the Department Head's written evaluation of his/her performance, he/she may write a separate statement, submitting it within 10 working days, that shall become part of the evaluation report. The official personnel files of the faculty will be kept in the faculty member's respective Dean's offices. These files in the Deans' Offices should include the initial letter of appointment, annual evaluations, faculty statements in response to evaluations, and other documents that are pertinent to the faculty member's position with the University.

#### G. THIRD YEAR REVIEW FOR PROBATIONARY FACULTY

Each department shall conduct a third year review of all its probationary faculty members before the end of the sixth semester, excluding summer, following their initial appointment. For faculty who have received credit toward tenure for service at another institution, this review will take place at the end of the second semester excluding summer. The letter of appointment must specify during which semester the third year review shall take place. The Department Head or equivalent will notify the faculty member of the deadlines



for third year review. The faculty member will submit a package containing a current vita and any supporting documentation of the candidate's performance in teaching, research, and service.

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

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

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

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

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

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

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

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

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

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

## I. CRITERIA AND PROCEDURES FOR PROMOTION

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

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

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

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

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

- Continuing education
- Participation in professional development opportunities

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

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

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

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

In addition, consideration should be given to:

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

Other activities to be considered include:

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

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

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

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

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

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

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

a. **Service to the Profession** - Consideration should be given to a candidate's contributions to the advancement of his/her discipline through leadership of, and intellectual contributions to professional associations. Examples of measures in this area may include:

- Editing or referring professional publications
- Organizing professional meetings
- Serving in an official capacity in a professional organization

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

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

- Serving as Faculty Council officers
- Chairing University committees and task forces
- Serving on University committees and task forces
- Developing and assisting in the coordination of innovative academic programs

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

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

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

- Chairing or serving on Departmental committees and task forces

- Developing and assisting in the coordination of departmental academic programs/courses

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

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

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

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

The Dean will forward all materials, including his/her letter of recommendation for action, to the Provost. The Dean's letter will include reasons for the positive or negative recommendation. By the date of his or her transmission of positive or negative recommendations to the Provost, the Dean will notify the candidate of his/her recommendation including reasons. Candidates may respond in writing within five business days; this response will become part of his/her dossier that is forwarded to the Provost. If the candidate



wants to continue the process, the Dean will forward all documents and letters, together with his/her evaluation and recommendation for action, to the Provost.

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

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

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

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

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

#### J. CRITERIA AND PROCEDURES FOR TENURE

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

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

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

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

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

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

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

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

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

491

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

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

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

505

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

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

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

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

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

529 **2. De Facto Tenure:** Should a seven year period of full-time service in a probationary tenure-track  
530 appointment including prior service credited in the manner specified above, be exceeded in the case of a  
531 faculty member on probationary tenure track appointment, tenure shall be awarded by the President. A

532 faculty member who contends that he/she has served full time in an academic rank for seven or more years  
533 may appeal through the normal administrative chain to achieve consideration of the claim. However,  
534 tenure gained in this way will be forfeited if it is established that the faculty member's not being  
535 recommended for tenure consideration was a deliberate attempt to avoid the formal tenure process by the  
536 faculty member and/or Department Head or unit head.

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

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

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

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

567 No administrator in the direct supervisory chain (i.e., with recommending responsibilities at subsequent  
568 steps in the tenure process, such as the candidate's Department Head or Dean, or the Provost) shall be  
569 included in the departmental review process. Other eligible faculty holding administrative positions and  
570 having a significant and continuing involvement in the instructional or research programs of the  
571 department shall participate. These statements and the Department Head's written recommendation on  
572 tenure, including reasons for the positive or negative recommendations, will be sent forward with the  
573 candidate's resume and supporting material to the appropriate Dean by December 1. Candidates may  
574 respond in writing within five business days, and any response will become part of his/her dossier that is  
575 forwarded to the Dean. If the candidate wants to continue the process, the Department Head will forward

576 all documents and letters, together with his/her evaluation and recommendation for action, to the Dean of  
577 the School.

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

583

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

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

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

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

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

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

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

615 Confidentiality and the right of tenured faculty members to express their viewpoints openly without fear of  
616 retaliation should be hallmarks of the tenure decision process. All documents, letters, and other materials



shall be held in strict confidence at all levels of the review process. Should confidential discussions, documents, notes and communications become the subject of legal discovery, those who participated in the review process may be guided by University Counsel.

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

### INTRODUCTION

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

### CRITERIA FOR TENURE OF LIBRARY FACULTY

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

#### 1. Professional Effectiveness

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

##### a. Collection Development

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

##### b. Bibliographic Control

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

657 indexes to that information. They also analyze, design and monitor systems to facilitate access to  
658 information about library materials, as well as to the actual library materials.

#### 659 c. Information Services

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

#### 667 d. Library Administration and Management

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

#### 673 e. Knowledge of Subject/Academic Achievement

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

#### 678 2. Research/Creative Activity

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

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

- 699 j. Publication (literary works, artistic works, etc.) in other periodicals or books  
700 k. Papers and other presentations at conferences  
701

### 702 3. Service

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

- 706 a. Serving on or chairing Library committees and working on special projects not necessarily related  
707 to the librarian's area of specialization.  
708 b. Serving on or chairing University committees, working on special projects for the University, or  
709 working with faculty and student organizations.  
710 c. Active participation in local, state, regional, national, or international professional or scholarly  
711 organizations. Pursuits may include:  
712 • Holding office.  
713 • Serving on committees.  
714 • Acting as a discussion leader.  
715 • Organizing a conference or workshop.  
716 • Other professional activities.  
717 d. Membership and participation in local, state, regional, national, or international professional or  
718 scholarly organizations.  
719 e. Participation in community activities as a private citizen or as a representative of the University  
720 and/or Library.  
721 f. Honor, awards and special recognitions for service to the institution or the community.  
722

### 723 FACTORS AFFECTING TENURE OF LIBRARY FACULTY

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

### 726 PROCEDURES FOR GRANTING TENURE OF LIBRARY FACULTY

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

### 731 LIBRARIAN APPOINTMENT

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

#### 733 1. Kinds of Appointment of Librarians

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

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

## 2. Definition of Librarian Academic Ranks

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

### a. Librarian I (equivalent to instructor)

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

### b. Librarian II (equivalent to Assistant Professor)

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

### c. Librarian III (equivalent to Associate Professor)

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

### d. Librarian IV (equivalent to Professor)

This is the highest professional level and is characterized by administrative responsibility for general library operations at the divisional level or above and by demonstrated ability in a specialized field

or fields of librarianship. A master's degree in library science from an American Library Association accredited school or equivalent and a doctoral degree in library services or in another discipline is a customary requirement. Exceptional and advanced training, research and publication, and/or evidence of exceptional ability in librarianship may be substituted for the doctorate. Demonstrated ability in providing leadership in professional and university organizations is required.

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

#### PROMOTION OF LIBRARY FACULTY

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

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

##### 1. Criteria

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

##### a. Professional Effectiveness and Quality of Service within the Library

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

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

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

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

##### b. Service



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

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

#### c. Research/Creative Activity

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

### PROCEDURES FOR PROMOTION OF LIBRARY FACULTY

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

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

### L. APPEALS PROCEDURES FOR PROMOTION AND TENURE DECISIONS

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

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

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

The Appeals Committee shall consist of the Provost (non-voting chairperson), an academic Dean (other than the appellant's), and four members of the tenured faculty appointed by the Chancellor from eight

names submitted by the Faculty Senate. This committee shall make its recommendation to the Chancellor within fifteen days of being notified by the Chancellor of the creation of the committee.

#### M. POST-TENURE REVIEW

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

#### N. NONCONTINUATION OF ~~EMPLOYMENT~~ APPOINTMENT

##### ~~1. University Responsibility~~

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

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

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

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

#### O. PROCEDURES FOR TENURED FACULTY DISMISSAL

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

##### Just Cause Resulting from Misconduct

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

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

#### Just Cause Resulting from Performance

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

1. Serious or substantial violation of professional ethics in administrative, teaching, research, or service activities;
2. Demonstrated incompetence in teaching, research, and service activities;
3. Serious or substantial neglect of professional or academic responsibilities.

#### 4. Preliminary Proceedings

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

1. The Immediate Past Chair of the University Faculty Senate unless the faculty member involved is in the same school, in which case the past chair immediately preceding that person shall serve instead; and
2. The most senior current member (in terms of years of service at Auburn University at Montgomery) of the University Post-Tenure Review Committee unless the faculty member involved is in the same school, in which case the second most senior member of the committee shall serve instead; and



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

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

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

#### 1. Initiation of Formal Proceedings

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

- A statement with reasonable particularity of the grounds proposed for dismissal of the faculty member.
- Information that the faculty member has a right to be present at a hearing before an impartial faculty committee.
- A copy of this statement of procedures.
- 

#### 4. Request for Hearing, Notice and Answer

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

#### 5. Hearing Committee

The Hearing Committee shall be composed of five (5) faculty members. To constitute a committee, the ~~Chancellor~~ Provost shall request the Faculty Senate to submit within ten (10) working days from the date of the ~~Chancellor's~~ Provost's request a list containing the names of ten (10) tenured faculty members without

administrative status above the level of Department Head who have no personal involvement in the case to be heard or other just reason to be excused. The following shall pertain in the selection of the five members of the Hearing Committee:

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

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

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

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

#### **6. Procedure**

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

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

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

- All proceedings will be private and closed to all persons save those officially involved.
- The ~~Chancellor~~ Provost will direct the presentation of reasons for discharge by such representatives as he/she may select.
- The faculty member has the right to be accompanied and represented by counsel, employed by the faculty member, and an academic advisor. However, if counsel is present, counsel may not participate in the hearing other than through providing legal advice to the client.
- A verbatim record of all proceedings will be taken and a copy made available to the faculty member if requested.



- The Hearing Committee will not be bound by strict rules of legal evidence; however, it will make every effort to obtain the most complete and reliable evidence available that bears upon the charges. Determination concerning consideration of evidence will be made by the Chair.
- The Hearing Committee will grant adjournments to either party to enable investigation of evidence to which a valid claim of surprise is made.
- The faculty member will be afforded a reasonable opportunity to obtain necessary witnesses and documentary evidence, and the administration of the University will cooperate with the Hearing Committee in securing witnesses and making available pertinent documentary and other evidence.
- The faculty member and the administration will have the right, within reasonable limits, to confront and examine all witnesses and to present oral and/or written argument to the Hearing Committee.
- Where a witness cannot or will not appear, but the interests of justice require admission of written statements, the committee shall identify the witnesses, disclose the statement, and if possible, provide for interrogation.
- The burden of proof that adequate cause exists rests with the University and will be satisfied by clear and convincing evidence in the record considered as a whole.
- Public statements and publicity about the case by either the faculty member or the University administration should be avoided.
- By majority vote, the Hearing Committee will decide all procedural matters not covered by this statement of procedures.

#### **7. Committee Report**

After all pertinent evidence has been presented, the Hearing Committee will conduct its deliberation in closed and confidential session. The committee's report shall be forwarded to the ~~Chancellor~~ 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 ~~Chancellor~~ 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.

#### **8. Chancellor's Decision and Appeal**

The Chancellor's decision shall be rendered within thirty (30) working days after receipt of the Hearing Committee's report. A copy of the decision shall be forwarded to the chair of the Hearing Committee and the faculty member. If the Hearing Committee recommends dismissal and the Chancellor sustains this recommendation, the faculty member may, by written request to the Chancellor, submitted within five (5) working days of the date of notice of the Chancellor's action, appeal the decision to the Board of Trustees 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

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

#### 9. Termination

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

#### Suspension Pending the Outcome of the Dismissal Process

##### Suspension With Pay

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

##### Suspension Without Pay



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

1. The faculty member will be provided notice of the charges and the basis of those charges;

2. The faculty member will be provided an explanation of the evidence;

3. The faculty member will be provided an opportunity to refute the charges in an informal meeting with the Provost.

#### **P. Termination Because of Financial Exigency**

In the event that financial stress poses a threat to University programs or continuation of faculty employment, the nature and extent of the situation shall be demonstrated to faculty by appropriate documentation. An explanatory statement shall be issued by the Chancellor, after consultation with the leadership of the Faculty Senate, to the University faculty concerning the financial condition of the University and the relation of that condition to all units and programs. Faculty and administrators shall then be involved in formulating plans which could result in discontinuation of programs and/or dismissal of personnel. A review process that includes the considerations noted below shall be implemented to guarantee the right of due process to those affected. If the administration issues notice to a faculty member of an intention to terminate his or her appointment because of financial exigency, the faculty member shall have the right to a full hearing before a faculty committee. The hearing need not conform in all respects to one conducted by the faculty dismissal Hearing Committee, but the essentials of an on-the-record adjudicative hearing shall be observed. The issues in this hearing may include:

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

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

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

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

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

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

1194 Q. APPOINTMENT AND TENURE OF MORE THAN ONE MEMBER OF THE SAME FAMILY

1195  
1196 Members of the same family may be appointed to the faculty of Auburn University Montgomery except that  
1197 they are not to be in positions where one exercises direct administrative supervision over the other.  
1198 Members of the same family may be given Probationary appointments and thus be eligible for tenure in  
1199 keeping with university criteria.

1200  
1201  
1202 R. Professional Improvement Leave of Absence

- 1203  
1204 1. **Definition.** A professional improvement leave (PIL) is a leave of absence to permit a tenured faculty  
1205 member to undertake approved activities that will result in the faculty member's rendering more  
1206 effective professional services to the University upon his/her return.

1207  
1208 PIL recipients are responsible for making arrangements to include providing alternates for  
1209 committee or service obligations to ensure completion of their stated objectives.

- 1210  
1211 2. **Requirements.** One semester at full salary or two semesters at half salary may be granted after 5  
1212 years of full-time service. No faculty member is eligible for a second such leave until at least five  
1213 years have elapsed since the completion of the previous leave.

- 1214  
1215 3. **Length of Leave.** Leave may not extend beyond two semesters, whether on full or half salary.

1216  
1217 Leave without pay may be approved for a maximum of one year and generally may not be extended  
1218 for more than one additional year.

- 1219  
1220 4. **Compensation.** Compensation for one semester will be at full salary or two semesters at half  
1221 salary.

- 1222  
1223 a. Faculty member on leave with partial compensation may receive fellowship support or part-  
1224 time teaching or research appointments which do not interfere with their programs  
1225 provided that in no instance is the compensation for the period of the leave to be greater  
1226 than the University salary would have been during that period.

- 1227  
1228 b. Leave without pay may be granted for appropriate professional improvement. Faculty  
1229 members on leave without pay have no formal obligations to return to Auburn University  
1230 Montgomery, but are expected to give adequate notice (generally at least six months) if they  
1231 decide not to return. On formal request by the faculty member, the University will  
1232 continue his/her group life insurance and hospital/medical insurance programs, making  
1233 the institution's regular contributions. If the faculty member does not return to Auburn  
1234 University Montgomery for at least one academic year after such leave, he/she is obligated  
1235 to reimburse the University for its contributions to his/her insurance programs.

- 1236  
1237 5. **Request Procedure.** The application must be accompanied by a proposed project that includes  
1238 reasonable promise of contributing to the improvement of the applicant's professional services to  
1239 Auburn Montgomery. Ten copies of the application and vita must be submitted through the  
1240 Department Head and Dean to the Provost by November 1 preceding the academic year in which  
1241 the proposed leave would begin.



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

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

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

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

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

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

7. **Disposition of Leave Request.** The Provost shall inform each applicant, the University Chancellor, the Dean, and the Department Head in writing regarding the disposition of the leave request by the January 15.

8. **Professional Improvement Leave Report.** Employees granted a professional improvement leave are to submit a written report describing the professional growth that occurred during the leave. This report must be submitted no later than eight weeks following the return to service. The report must be a minimum of 2 double spaced pages. The report is to be submitted to the Provost with copies provided to the Department Head and Dean.

#### **Timeline for Professional Improvement Leave:**

November 1 - Application and vita submitted through the Department Head and Dean to the Provost by November 1 preceding the academic year in which the proposed leave would begin

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

January 15 - The Provost shall inform each applicant, the University Chancellor, the Dean, and the Department Head in writing regarding the disposition of the leave request by the January 15.

#### **V. FACULTY GRIEVANCE PROCEDURE (Revised January 2010) (Move entire section to PART III of Faculty Handbook)**



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

## DEFINITION OF A GRIEVANCE

A grievance is a complaint of alleged

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

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

## FACULTY GRIEVANCE COMMITTEE

### 1. Composition and Election of Members

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

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

### 2. Meetings of the Faculty Grievance Committee

#### a. Election of Chair

By September 15 of each year, the President of the Faculty Council shall convene the Faculty Grievance Committee for the purpose of electing a chair from its membership.

The term of the Chair shall begin at the time of election and shall run until August 31 of the following calendar year. If the person elected to this position vacates the position before the end of the term, the President of the Faculty Council shall convene the Faculty Grievance Committee within twenty calendar days to elect a replacement.

**b. Selection of Hearing Panel**

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

**c. Other Meetings**

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

**3. Duties of the Chair**

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

- Receiving statements of complaints under this procedure.
- Calling meetings of the Faculty Grievance Committee as necessary to review all statements of complaints.
- Clarifying for the concerned parties any questions relating to the procedures per se.
- Maintaining any necessary records and ensuring the confidentiality of these records.
- Supervising the selection of the Hearing Panel from which hearing committees will be chosen.
- Polling potential members of a Hearing Committee to determine whether these individuals have a personal involvement in the case to be heard.

- Informing all parties to the complaint of the names of Faculty Council members available to serve on a Hearing Committee.
- Attending all formal hearings held by a Hearing Committee, being responsible for recording such hearings, and maintaining the records of those hearings.
- Receiving a copy of the written recommendations of the Hearing Committee.
- Receiving a copy of the written decision of the Chancellor.
- 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. If feasible, the complaint should also be discussed with the person's immediate superior before the complaint is brought to the Faculty Grievance Committee. A faculty member who alleges officially approved policies and procedures concerning nomination or review for tenure or promotion were not properly followed must complete the process for appeal in the tenure or promotion procedure before filing a complaint with the faculty Grievance Committee.

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

- The date of the complaint.
- The name(s) of the person(s) filing the complaint.
- The name(s) of the administrators and/or Faculty Council member(s) against whom the complaint is filed.
- The nature of the complaint in relation to section, Definition of a grievance, of this procedure.

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

- A brief account of the events leading to the complaint,
- A description of the efforts taken to resolve the complaint, and
- A statement of the action sought to redress the complaint.

## 2. Response by the Faculty Grievance Committee to a Complaint

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### a. Authentication

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

- Does the complaint constitute a grievance?
- Have reasonable attempts been made to resolve the complaint?
- 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?

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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.

### b. Dismissal

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.

### c. Referral to a Formal Hearing



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.

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.

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.

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

### **3. Hearing Committee Responsibilities and Procedures**

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

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

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

The proceedings of the hearing shall be recorded on audio tape by the Chair of the Faculty Grievance Committee. This tape shall be kept in the confidential files of the Faculty Grievance Committee as outlined in the section MAINTENANCE AND DESTRUCTION OF RECORDS. All participants in the hearing shall keep matters of the grievance confidential.

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

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

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

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

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

#### **RIGHT TO COUNSEL**

1550  
1551 In this procedure each party involved in the hearing may be accompanied by another person of its  
1552 choosing. The opposing party shall be given prior notification of the decision to bring such a  
1553 representative at least fifteen calendar days prior to the hearing in order to have a representative  
1554 present if desired. However, if counsels or advisors are present, neither counsel nor other  
1555 representative may participate in the hearing other than through providing advice to their clients.  
1556

#### 1557 **WITHDRAWAL OF COMPLAINT**

1558

1559 The member(s) of the Faculty Council who filed the complaint may withdraw the complaint at any  
1560 time. Such withdrawal shall be without prejudice.  
1561

#### 1562 **INTERPRETATION OF THIS PROCEDURE**

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1564 The Faculty Grievance Committee shall have the final authority to interpret this procedure except  
1565 where this procedure places such authority on the Hearing Committee.  
1566

#### 1567 **MAINTENANCE AND DESTRUCTION OF RECORDS**

1568

1569 All tapes, exhibits, documents, and records pertinent to a hearing shall become a part of the  
1570 confidential files of the Faculty Grievance Committee. By August 31 of each year, the Committee  
1571 Chair shall submit all confidential records from the preceding year to the University Archivist.  
1572 The Archivist will be responsible for maintaining the records, with restricted access, in the  
1573 University Archives. A signin/signout log shall be maintained by the Archivist. The records shall  
1574 be retained for a minimum of three years after action is taken on the case(s) (in accordance with  
1575 the AUM General Records Schedule), or after settlement of all claims due.  
1576

1577 By August 31 of each year, the Committee Chair will purge, in the presence of the University  
1578 Archivist, all documents that have been retained for the required period of time. All records will  
1579 be shredded and both the Committee Chair and the University Archivist shall sign and date a  
1580 record of the actions taken.  
1581

#### 1582 **REPRISALS**

1583

1584 No reprisal is to be brought against any person for participating in any way under this procedure.  
1585 Such reprisal would be grounds for instituting another grievance.  
1586

#### 1587 **PROCEDURAL REVIEW**

1588

1589 Every three years the Faculty Senate shall appoint an ad hoc committee to review the Faculty  
1590 Grievance Procedure and to make recommendations of any changes that are needed.  
1591  
1592

## ACADEMIC AFFAIRS COMMITTEE

### RESOLUTION

#### PROPOSED CHANGES TO THE FACULTY PERSONNEL POLICIES

WHEREAS, the faculty personnel policies included in the *Faculty Handbook* reflect Auburn University policies and information; and

WHEREAS, the proposed changes to the faculty personnel policies have been recommended by the University Senate, with additional recommendations provided by the Senate Executive Committee, and have received the approval of the Provost and the President; and

WHEREAS, the Board has historically and will continue to define policies related to appointment, promotion, tenure and dismissal of faculty, but development and approval of procedures to implement those policies is more properly the responsibility of the President or those duly authorized by the President.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of Auburn University that Jay Gogue, President, or such other person as may be acting as President, be and the same is hereby authorized to revise the contents of the faculty personnel policies as outlined in Attachment A and is delegated the authority to approve procedures for the administration of these policies.






AUBURN UNIVERSITY

OFFICE OF THE PROVOST  
AND VICE PRESIDENT FOR  
ACADEMIC AFFAIRS

October 15, 2012

MEMORANDUM TO: Jay Gogue  
President

FROM: Timothy R. Boosinger   
Provost and Vice President for Academic Affairs

SUBJECT: Agenda Item for the Board of Trustees –  
Proposed Revisions to Faculty Personnel Policies

I am writing to request that the following item be added to the Board of Trustees' agenda for the **November 16, 2012** meeting.

**Proposal:** It is recommended that the proposed changes to faculty personnel policies published in the *Auburn University Faculty Handbook* be approved.

**Review and Consultation:** The University Senate has recommended changes to the faculty personnel policies. The changes were approved by the University Senate at the May 2012 full Senate meeting, followed by further changes and clarification added by the Senate Executive Committee in June 2012. The proposed changes delineate amended policies and provide increased comprehensiveness, organization, and clarity to the institution's faculty personnel policies (specifically sections 3.1.1, 3.12, 3.3.1, 3.3.2, 3.3.4, 3.3.5, 3.6.1, 3.6.2, 3.6.4, 3.9.1, 3.9.2, 3.9.3, 3.9.4, 3.10.1, 3.10.2, 3.10.3). A copy of those policies with changes identified in redline format is enclosed.

In addition, it is recommended that certain parts of what was previously included in the Board approved documents, but which are actually procedures for implementing policy rather than policy should be delegated to the President for approval and administration.

**Recommendation:** It is recommended that the Board approve the proposed changes to selected faculty personnel policies published in the *Auburn University Faculty Handbook*. If approved, the changes will provide greater clarity, better organization, and utility of the faculty personnel policies.

## **Chapter 3.**

# **Faculty Personnel Policies and Procedures**

### **1-Introduction**

The Board of Trustees of Auburn University is charged with the responsibility of the management and control of the University under the provisions of Amendment 161 (formerly Section 266) of the 1901 Constitution of the State of Alabama. These responsibilities are further elaborated in Sections 16-48-1 *et seq.*, Code of Alabama, 1975.

The Board cannot waive these duties and responsibilities to the people of Alabama for the continuation, growth, and services of the University as a land-grant university with clearly defined obligations for the advancement of knowledge through teaching, research, and outreach. Nor can the Board take lightly its responsibilities for financial control and effective operation of the University.

The Board recognizes as fact that the educational purposes of the University can be achieved only in a climate in which its faculty may enjoy the academic freedom that has traditionally prevailed in American universities and colleges. The Board supports the scholarly goals of the institution, which include dedication to the advancement of knowledge through the search for truth and the freedom to communicate information so gained.

The Board subscribes to the principles stated in the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors that has been endorsed by the Association of American Colleges, the American Association for Higher Education, and the American Council of Learned Societies, and that is quoted below.

The Board also subscribes to the principles incorporated in the American Association of University Professors' 1982 Recommended Institutional Regulations on Academic Freedom and Tenure. These principles shall apply to all faculty members who hold academic appointments as described in this chapter of the Faculty Handbook as well as prospective faculty to whom Auburn has extended an offer of employment.

The Board holds strongly that correlative with the rights of academic tenure and academic freedom is the responsibility of all faculty members for the fulfillment of their duties as assigned by the University so that the University can fulfill its obligation to its students and to society. The specific details set forth in this chapter of the Faculty Handbook, as periodically revised, constitute the policies and procedures applicable to appointment, promotion, tenure, noncontinuance, dismissal, and retirement at Auburn University.

In order to assure that the faculty members nominated for promotion and tenure receive full consideration by their peers as well as by appropriate administrative personnel, the Board directs that all faculty being considered for promotion and/or tenure be reviewed at the following levels:

1) eligible department faculty members, 2) the department ~~head~~head/chair, 3) the college or school dean in conjunction with an advisory college- or school-level committee as may be established by the dean, 4) the Promotion and Tenure Committee, and 5) the University President.

The Board recognizes that universities may experience periods of financial stress which threaten the continuation of personnel and/or programs. Should such a situation of financial stress arise, the Board supports the principles that 1) faculty members be apprised of the extent and seriousness of the financial problem with appropriate documentation; and 2) that faculty members as well as administrators should be involved in formulating any plans which would result in discontinuation of either programs or personnel.

## **Section 3.1**

### **Academic Freedom and Responsibility**

#### **3.1.1 AAUP Statement of Principles on Academic Freedom and Tenure**

This statement is quoted from the AAUP Red Book, 1990, 3-4:

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher [including "the investigator who is attached to an academic institution without teaching duties"] or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries duties correlative with rights.

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

#### **Academic Freedom**

- a. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- b. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
- c. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write on matters of public interest as well as matters related to professional duties and the functioning of the University, they should be free from institutional censorship or discipline. Academic responsibility implies the faithful performance of professional duties and obligations, the recognition of the demands of the scholarly enterprise, and the candor to make it clear that when one is speaking or writing on matters of public interest, one is not speaking for the institution.

### **Academic Tenure**

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

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

- a. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.
- b. Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that the new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. Notice should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period.
- c. During the probationary period a teacher should have the academic freedom that all other members of the faculty have.
- d. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher ~~previous- prior~~ to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in



dispute, the accused teacher should be informed before the hearing in writing of the charges and should have the opportunity to be heard in his or her own defense by all bodies that pass judgment upon the case. The teacher should be permitted to be accompanied by an advisor of his or her own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence the testimony should include that of teachers and other scholars, either from the teacher's own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.

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

### **15.3.1.2 Faculty Responsibility**

Faculty members should recognize that with the protections afforded by academic freedom and by tenure they enjoy certain privileges not afforded to all members of society. Such protections carry responsibilities. It is incumbent on a faculty member to observe the policies and practices that are described in this Handbook that pertain to the well-being of the University, the students, and society. To this end, faculty members must recognize their obligation to ensure that the University remains a place characterized by the free exchange of ideas, the pursuit of knowledge, and tolerance for the opinions of others.

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

## **Section 3.3 Faculty Appointments**

### **2-3.3.1 Overview of Faculty Personnel Policies**

Auburn University recognizes that its success as an educational institution depends largely upon its ability to attract and retain well-educated, talented, and dedicated faculty members. Thus, within available resources, it rewards individuals who demonstrate high quality performance in its primary activities--teaching, research/creative work, and outreach--by granting promotion, tenure, and salary increases. This section of the Faculty Handbook provides definitions, criteria,

and procedures for initial faculty appointments and for the granting of academic promotions and tenure. Appointments to the faculty, promotions in rank, and tenure decisions are made by the President in accord with the policies established by the Board of Trustees.

The faculty consists of academically qualified individuals whose obligations include 1) the teaching of students, 2) the discovery of new knowledge through research or other creative work, and 3) the dissemination or application of knowledge through outreach. In addition, all faculty have an obligation of service to the University. All faculty members who are eligible for academic rank and tenure shall have assignments that will provide the opportunity to participate in appropriate combinations of these activities as determined in the faculty member's department.

Individuals involved exclusively in roles supportive of the institution's primary functions--such as executives, administrators, managers, technicians, and clerical staff--do not as such have faculty status. However, academic administrators who have faculty status are eligible for academic rank, promotions, and tenure, subject to the provisions and procedures described here. Members of the same family may be appointed to the faculty but one may not exercise direct administrative supervision over the other.

Eligibility for academic rank and tenure is accorded to faculty members assigned teaching, research, and outreach roles within traditional departments. Promotion and tenure are based on a faculty member's meritorious performance, over a sustained period, of the duties and functions to which he or she has been assigned along with significant contributions to other recognized activities of the University. Standards for promotion and tenure are based on the weights of each performance area as described in the letter of offer and subsequent annual evaluations. In some colleges or schools the percentages of time and effort to be devoted to each assigned area are determined by funding sources; in others, the percentages are set after discussion by the department headhead/chair and the faculty member and may or may not coincide with the source of the faculty member's salary. The University recognizes that, in practice, these areas may overlap. Percentages for faculty members on nine-month appointments shall be based on the nine months of appointment. These percentages are taken into account as the faculty member is evaluated for promotion and tenure.

Whatever the percentages that define an appointment, a candidate for promotion and tenure must be engaged in an appropriate combination of 1) teaching, 2) research/creative work, and 3) outreach. In addition, all faculty have an obligation for University service. Provost approved departmental guidelines will be used as the evaluation method for all performance areas for candidates covered by the guidelines. For candidates without approved departmental guidelines, the outline of material to be submitted for consideration for promotion and tenure (printed in this chapter) indicates that the University is prepared to interpret teaching, outreach, and research/creative work with a considerable degree of flexibility in order to accommodate the wide variety of work in which faculty members engage. Teaching is understood to include a variety of ways in which information and skills are passed on such as classroom teaching, direction of advanced students, in service training, or off-campus instruction. Research/creative work is understood to include a variety of original scholarly activities such as basic research, applied research, interpretive or case studies, and artistic performances. Outreach is understood to be instruction, research, and other activities that are applied to the direct benefit of external



audiences and that is directly relevant to the mission of the units in which the contributing faculty members work, including such activities as off-campus instruction and applied research which overlap with traditional instruction and research. In this sense outreach is understood as a function, rather than as an organization; it includes activities of faculty associated with the Alabama Cooperative Extension System as well as those whose outreach work is sponsored by Auburn institutes or external sources and those who conduct outreach in support of their departmental missions. In addition, a candidate for promotion and tenure must recognize his or her obligation to provide the University with some kind of service, although expectations in the area of departmental, college or school, and/or University service for an assistant professor are typically modest.

The normal progression to tenured status is from a probationary appointment. A faculty member on joint-appointment involving two or more departments is eligible for tenure in the department claiming the greatest share of the appointment, or, in the case of an even share, in the department preferred by the faculty member. A faculty member on part-time appointment is not eligible for tenure. A member of the faculty or an academic administrator who also has faculty status can earn and retain tenure only in his or her faculty appointment.

Through the policies and procedures described below, the University seeks to achieve a well-balanced educational program that is consonant with its stated mission and with excellence in all of its parts.

### **3.3.3.2 Kinds of Appointment**

Members of the faculty of Auburn University are appointed to temporary, probationary, tenured, or continuing positions. Joint-appointments, where half the appointment is a faculty appointment, fall under one of these classifications.

The professorial faculty includes the ranks of instructor, assistant professor, associate professor, professor, and their equivalents of librarian and archivist I, II, III, and IV. The equivalent ranks for librarians and archivists apply here and throughout this document. Except for the ranks of instructor, librarian I, and archivist I, these are tenure track positions.

Non-tenure track faculty includes such positions as instructor, librarian I, archivist I, visiting faculty, adjunct faculty, resident, intern, extension specialist, agent, and program associate.

~~*Guidelines for establishing and filling positions in the Research and Clinical Title Series are available on the Office of the Provost web page [www.auburn.edu/provost](http://www.auburn.edu/provost).*~~

Academic administrators above the level of department ~~head~~head/chair hold temporary or continuing appointments and may also hold faculty rank. The department chair or head must hold faculty rank and should serve for a stated term but without prejudice to reelection or to appointment by procedures that involve appropriate faculty consultation. ~~A department head/chair holds a continuing appointment as head/chair and must also hold faculty rank.~~

A temporary appointment is granted to a faculty member whose service is required for a specific period of time (usually one academic year or less) identified on the appointment form and to all instructors and equivalent appointments. Except as noted in the next paragraph, a temporary faculty member is not eligible for the insurance, medical benefits, annual leave, sick leave, and other fringe benefits available to other faculty members unless the appointment is a full-time appointment and the employment period is for at least a full year (nine or 12 months as appropriate to the appointment). However, a temporary faculty member working at least half time and retained for more than one year must be enrolled in the Teacher's Retirement System. All part-time faculty members, regardless of rank, are temporary appointments. Adjunct appointments (whereby a regular faculty member serves in two departments) and affiliate appointments (whereby an individual external to the University provides specific service to the University) are also temporary appointments and are appointments without pay. Academic ranks apply to these appointments.

Non-tenure track faculty who have been on full-time appointments and enrolled in the University's health insurance program, but are forced into part-time appointments because of ~~defacto tenure issues or~~ departmental policies, are eligible to continue their health insurance coverage in the University's group plan. The following conditions apply: the non-tenure track faculty member 1) must have worked full time for three years and carried the University's health insurance during the most recent year of eligibility, and 2) must be on at least a 50% appointment and the appointment must be continuous.

A probationary appointment is granted to a faculty member who, because of scholarly or professional achievement, has demonstrated the potential to earn tenure. An individual holding the terminal degree from Auburn University normally is not eligible for permanent appointment and thus will not be placed on probationary appointment except in rare circumstances. An exception might occur if the individual has held faculty rank at another university or college, had a responsible position in industry or professional practice, is a qualified applicant in a field where there are national shortages, has an outstanding national reputation, or is certified in a discipline by a nationally recognized specialty board or college. Exceptions may also be allowed if such appointments would permit a department or unit to meet its affirmative action/equal opportunity obligations.

A tenured appointment is granted to a faculty member who has completed an appropriate probationary period and who, following recommendation and review in accordance with University policy and approval by the President, has been awarded tenure.

A continuing appointment is assigned to a non-tenure track faculty member who is recommended for continuing appointment. Such an appointment is nontenurable; however, the employee is eligible for the standard benefit programs of the University.

The President may offer tenure to a faculty member or to an academic administrator holding faculty rank at the time of initial appointment provided that 1) the appointment is made at the rank of associate professor or professor, and 2) the tenure has been approved through the usual tenure review process ~~set forth in this document~~. In the case of initial appointments involving tenure, the time of the tenure review may be altered.



### **6.3.3.4 Academic Ranks and Promotion**

Academic rank is accorded to qualified individuals whose primary assignment is to any of the three major functions of the University: teaching, research/creative work, and outreach. The following general considerations apply to appointment or promotion to faculty ranks:

Appointment to the rank of instructor should be based on ability or potential in research/ creative work and teaching and/or outreach. The candidate should have a master's degree or equivalent professional experience.

Appointments to the rank of instructor are temporary appointments. An individual holding the rank of instructor must demonstrate competence in his or her work assignments as a condition for reappointment. An instructor who has served on a full-time temporary appointment may be considered on the basis of highly meritorious performance and strong evidence of professional development for promotion to the rank of assistant professor. ~~Whether promoted or not, during their sixth year of service an instructor must be nominated for tenure or given due notice of noncontinuation no later than August 16 of his or her sixth year of service.~~

Temporary and part-time faculty shall be provided the office space, material supplies, support services, and equipment needed to fulfill their assigned responsibilities. General departmental faculty meetings shall include the temporary and part-time faculty. Each department head/chair shall meet with temporary and part-time faculty as a group at least once a year to discuss their special concerns. Temporary and part-time faculty shall have appropriate time to prepare courses, though the specific time may vary depending on circumstances. In determining mutually agreed-upon academic responsibilities for temporary and part-time faculty, a three-credit-hour semester course should be considered equivalent to ten hours of other academic responsibilities. When funds are available for merit raises, temporary and part-time faculty should not be excluded from individual consideration for salary improvement.

Assistant professor is the usual entry-level rank for a candidate who has completed the appropriate terminal degree (usually a doctorate) or has the equivalent in training, ability, and experience. While a terminal degree or the equivalent is required, an appointee is not required to have a minimum number of years in academic service to be eligible for the rank of assistant professor.

Associate professor is a rank of distinction which is attained through successful performance of assigned duties. A candidate should hold the appropriate terminal degree (usually a doctorate) or the equivalent. Normally, a candidate must serve at least four complete years on full-time appointment at the assistant professor level before he or she may be nominated for promotion to associate professor. Prior faculty service at other colleges or universities or prior service in appropriate professional activities may qualify for consideration in meeting the requirement for years in rank for promotion. A candidate who is especially meritorious may be recommended for early promotion by the department headhead/chair with majority support of the faculty who hold rank superior to that of the candidate.

A candidate for associate professor should have demonstrated mastery of the subject matter of his or her field and the ability to apply it well in the primary area(s) to which he or she is assigned whether in teaching, research/creative work, or outreach. Additionally, the candidate should have contributed, typically through significant scholarly or creative work, to his or her area of specialization; participated in professional life; and served on departmental, college or school, and/or University committees. Through his or her scholarly and professional activity, the candidate should demonstrate an emerging stature as a regional or national authority.

Professor is a rank requiring professional peer-recognition of the individual as an authority in his or her field of specialization. A candidate must be recognized by associates as a capable teacher, scholar or artist, or outreach specialist. It is therefore expected that peers within and outside the University will attest to the candidate's high professional standing. A candidate should hold the appropriate terminal degree (usually a doctorate) or the equivalent. Normally, a candidate must serve at least four complete years on full-time appointment at the associate professor level before he or she may be nominated for promotion to professor. Only in exceptional and well-documented cases, in which a faculty member has met requirements for promotion to Professor in a shorter time, should he or she be recommended for early promotion by the department ~~head~~head/chair, with majority support of the faculty members who hold rank superior to that of the candidate.

A candidate for professor should have demonstrated significant involvement in the teaching, research/creative work, or the outreach functions of the University. He or she should also have participated in professional life and have been actively involved in departmental, college or school, and University affairs. For this rank, it is essential that the candidate should have demonstrated a marked degree of scholarship appropriate to his or her assignment through work, typically publication or creative endeavor, subjected to peer review. By means of such activity, a candidate for the University's highest academic rank should have a respected national reputation.

### **12.3.3.5 Continuation of Appointment**

It has been the custom of the University for faculty appointments to be continued by mutual commitment and understanding rather than by formal annual contracts. The following principles outline the policy on continuation of appointment or reappointment of faculty members:

A faculty member who has been awarded tenure is considered to have an ongoing contract.

A faculty member who has a probationary appointment and who has not been given a notice of noncontinuation of appointment according to the schedule noted ~~in Section 15~~ below is considered to have been reappointed.

A faculty member who holds an appointment for a specified period of time does not have a commitment for continuation of appointment or reappointment beyond that period unless such



## **Section 3.6**

### **Promotion and Tenure of Tenure-track Faculty**

#### **8.3.6.1. Promotion and Tenure Considerations**

Promotion is based on merit. A candidate for promotion should have acceptable achievements in the areas of 1) teaching and/or outreach and 2) research/creative work. He or she is further expected to demonstrate over a sustained period distinctive achievement in one of these areas or achievement in both areas comparable to that of successful candidates in the discipline in the past five years. In addition, he or she is expected to have contributed some service to the University. Candidates covered by Provost approved departmental promotion and tenure guidelines will be evaluated accordingly. For candidates not covered by Provost approved departmental promotion and tenure guidelines, the criteria for teaching, research/creative work, and outreach described below shall be considered by the faculty in the evaluation of a candidate's performance and achievement. The candidate's employment conditions and academic assignments shall determine which criteria are most emphasized, and standards for promotion are based on the weights of each performance area as described in the letter of offer and subsequent annual evaluations. Credit shall also be given for contributions above and beyond specifically assigned duties.

#### **A. TEACHING**

Since a primary activity of the University is the instruction of students, careful evaluation of teaching is essential. Because of the difficulty of evaluating teaching effectiveness, faculty members are urged to consider as many relevant measures as possible in appraising the candidate. These include consideration of the candidate's knowledge of the subject and his or her professional growth in the field of specialization; the candidate's own statement of his or her teaching philosophy; the quality of the candidate's teaching as indicated by peer and student evaluations and teaching awards; performance of the candidate's students on standardized tests or in subsequent classes; the candidate's contributions to the academic advising of students; the candidate's development of new courses and curricula; the quality of the candidate's direction of dissertations, theses, independent study projects, etc.; and the quality of pedagogical material published by the candidate.

#### **B. RESEARCH/CREATIVE WORK**

A faculty member engaged in research/creative work has an obligation to contribute to his or her discipline through applied and/or basic research, through creative endeavors, or through interpretive scholarship. To a large extent, each discipline and each department must determine how much and what quality of research/creative work is appropriate for promotion (and/or tenure) and judge its candidates accordingly. In appraising the candidate's work, faculty members should consider the quality and significance of the work, the quality of the outlet for publication or exhibition, and, in cases of collaborative work, the role of the candidate.

Research and creative work ordinarily can be documented by a candidate's publications or performances/exhibitions. Publication subjected to critical review by other scholars as a condition of publication should carry more weight than publication that is not refereed. Nevertheless, all forms of publication, including articles intended for a non-academic audience, should be considered provided they are of high quality in relation to the purpose intended. Scholarly papers subjected to peer review and delivered at a regional or national conference and creative work subjected to peer review and performed or exhibited on a regional or national level should carry more weight than work done only on a local level.

Successful efforts in obtaining extramural support for research/creative work (as well as for teaching and outreach programs) should also be positively considered in evaluation of the candidate.

### C. OUTREACH

As used in this chapter "outreach" refers to the function of applying academic expertise to the direct benefit of external audiences in support of university and unit missions. A faculty endeavor may be regarded as outreach scholarship for purposes of tenure and promotion if all the following conditions are met: 1) there is a substantive link with significant human needs and societal problems, issues or concerns; 2) there is a direct application of knowledge to significant human needs and societal problems, issues, or concerns; 3) there is utilization of the faculty member's academic and professional expertise; 4) the ultimate purpose is for the public or common good; 5) new knowledge is generated for the discipline and/or the audience or clientele; and 6) there is a clear link/relationship between the program/activities and an appropriate academic unit's mission. (While outreach may be sponsored by a unit other than the faculty member's department, both the faculty member and the sponsoring unit must recognize the activity as outreach. Outreach is not expected of all faculty. Participation in this function varies from major, continuing commitments, as is the case with the Alabama Cooperative Extension System, through intermittent engagement for individual faculty as needs and opportunities for a particular expertise arise, to no involvement at all.

The commitment of faculty time to outreach is a decision to be made by the faculty member with the approval of the department in which the faculty member will seek tenure and/or promotion. It is established in the letter of offer and may be modified in annual work plans, or during the year in response to unexpected needs. In any case, this decision should be made with due consideration to the professional development of the faculty member, the expected public benefits of the outreach activities, and mission of the department and/or other supporting units. Departmental approval carries a commitment to assess and appropriately weigh outreach contributions in salary, tenure, and promotion recommendations.

Demands for quality in outreach are the same as in teaching and research/creative work; however, outreach activities are different in nature from other activities and must be evaluated accordingly. ~~See Appendix 1 of Faculty Participation in Outreach Scholarship: An Assessment Model, which is available along with other publications on the assessment of outreach under "Outreach Publications" on the University web site.~~ Please refer to <http://www.auburn.edu/outreach> for resources concerning faculty participation in Outreach



Scholarship. Department ~~heads~~heads/chairs should request any material necessary from the candidate to facilitate faculty assessment of the type, quality, and effectiveness of the candidate's involvement in extension activities and evaluation of any resulting publications.

## D. SERVICE

University service includes participating in departmental, college or school, and University governance and committee work, assisting in the recruitment of new faculty, and developing and assisting in the implementation of new academic programs. Faculty should note particularly distinctive contributions to University life on the part of the candidate, including service to the candidate's profession, such as offices held and committee assignments performed for professional associations and learned societies; and editorships and the refereeing of manuscripts.

### 9.3.6.2. Tenure Criteria and Considerations

Auburn University nurtures and defends the concept of academic tenure which assures each faculty member freedom, without jeopardy at the department, college or school, or University level, to criticize and advocate changes in existing theories, beliefs, programs, policies, and institutions and guarantees faculty members the right to support, without jeopardy, any colleague whose academic freedom is threatened. Tenure establishes an environment in which truth can be sought and expressed in one's teaching, research/creative work, outreach work, and service. In addition to demonstrating quality in the areas of 1) teaching, 2) research/creative work, 3) outreach and 4) service as described above under Promotion Criteria and, where applicable, in approved departmental guidelines, the candidate for tenure must ~~also demonstrate~~ that he/she potential to contribute as a productive and collegial member of the academic unit in all relevant areas. Are the candidate's professional abilities and relationships with colleagues compatible with the departmental mission and with its long-term goals? Has the candidate exhibited an ability and willingness to engage in shared academic and administrative tasks that a departmental group must often perform and to participate with some measure of reason and knowledge in discussions germane to departmental policies and programs? Does the candidate maintain high standards of professional integrity? Concerns respecting a candidate's collegiality should be shared with the candidate as soon as they arise; they should certainly be addressed in the yearly review and the third year review. ~~Documented evidence that a candidate's interactions with students or colleagues has significantly interfered with teaching, research/creative work, outreach or service of the candidate or others may be a basis for denial of tenure. For tenure, the candidate must demonstrate that he/she contributes as a productive and collegial member of the academic unit in all relevant areas.~~

### 10.3.6.4 Eligibility for Promotion and Tenure

There is no fixed requirement for years of service at a given rank before a faculty member can be promoted or tenured. However, the qualifications for tenure or for each professorial rank generally cannot be demonstrated fully in less than four complete years of service. Only in

exceptional and well-documented cases, in which a faculty member has met all requirements for promotion and/or tenure in a shorter time, should he or she be recommended for promotion and/or tenure before completing four years in rank.

A candidate must be considered for tenure during his or her sixth year if he or she has not been granted tenure earlier and has not waived consideration. Under no circumstances should the length of the probationary period exceed seven years of full-time service except where the faculty member has agreed in writing that a year in which the faculty member qualified for FMLA leave or took leave without pay will not count towards the probationary period. The written agreement must be received by the Provost within the probationary year in which the extension is requested.

If a faculty member begins employment between January 1 and May 15, the partial academic or calendar year shall not count as part of the probationary period.

A faculty member who feels that he or she has not met the requirements for tenure by the sixth year can forever waive consideration by stating, in writing, that he or she does not wish to be considered by the department. In such a case, the Dean will send the letter of noncontinuation to the faculty member.

A faculty member on leave of absence without pay need not count his or her leave time toward tenure and/or promotion. However, if such a leave is professionally related, the faculty member may wish to count that time. Except as otherwise required by law, A faculty member on leave without pay cannot be a candidate for promotion and/or tenure while on leave. A faculty member on leave with pay should count such time and may be a candidate. A faculty member who has qualified for FMLA leave while holding a tenure accruing appointment may request a one-year extension of the date on which the probationary period would end. Only two such extensions are allowed. Any request may be made only during the first five probationary years of the tenure process. The faculty member will retain the position of full-time employee.

Except in highly unusual circumstances, a faculty member holding the rank of assistant professor or librarian II or archivist II recommended for tenure should be recommended for promotion to associate professor or librarian III or archivist III as well. However, recommendation for promotion at this level does not necessarily entail recommendation for tenure since the criteria for tenure, which include collegiality, are more exacting than the criteria for promotion. Recommendations for promotion and tenure must be voted separately.

There are no fixed quotas for tenured positions or for the various ranks established for colleges, schools, or departments.

## **De Facto Tenure**

A faculty member who provided more than seven years of full-time service in a probationary tenure-track appointment must be awarded tenure by the President, except in those cases described in ~~the section on Prior Service~~ Chapter 3, Section 3.3 of this Handbook in which a written agreement, approved by the Provost at the time of the new appointment, excludes some



or all years of prior service at Auburn toward tenure eligibility. Any such exclusion would also apply to the awarding of de facto tenure. A faculty member who contends that he or she has served as a tenure-track faculty member for more than seven years may appeal through the normal administrative chain for consideration of the claim. However, tenure gained this way must be forfeited if it is established that the faculty member's not being recommended for tenure consideration was a deliberate attempt on the part of the faculty member and/or the department head/chair to avoid the formal tenure process in order to acquire de facto tenure.

A full-time faculty member who has been awarded de facto tenure is entitled to the procedural protections associated with tenure in any action to terminate his or her services.

## **Section 3.9**

### **Termination of Faculty Appointments**

#### **15.3.9.1 Noncontinuation of Appointment**

Notice of noncontinuation prior to a tenure decision shall be given in writing to full-time faculty members on probationary appointment. If a faculty member whose appointment is not to be continued so requests, he or she shall be provided with a written statement of reasons why the appointment is not to be continued. If he or she believes that the decision was based on inadequate consideration in terms of the relevant standards of the institution, an appeal may be made to the Faculty Dismissal Hearing Committee to be considered under procedures to be developed by the committee and approved by the Provost's Office. This committee shall review the faculty member's allegation to determine whether the decision was the result of adequate consideration in terms of the relevant standards of the institution. If the committee believes that adequate consideration was not given to the faculty member's qualifications, it will request consideration by the departmental tenured faculty indicating the respects in which it believes the consideration may have been inadequate. It will provide copies of the Review Committee findings to the faculty member, the faculty body, and the President.

The provisions for notice of noncontinuation described in this section apply only to full-time faculty members on probationary appointment. All full-time service, whether in a tenure-track position or not, must be counted in determining the length of notice required. The provisions are not applicable to terminations for cause or where a termination is specified in the appointment instrument.

The following schedule applies to notice of noncontinuation:

A. For academic year (nine-month) appointments:

1. By February 15 of the first academic year of service.
2. By December 31 of the second academic year of service.

3. At least 12 months before the expiration of an appointment (May 15) for faculty members with two or more years of service, except that faculty members who are not to be reappointed due to failure to obtain tenure shall be given notice by August 15 that they will not be reappointed the following August.

B. For 12-month appointments:

1. Six months prior to noncontinuation date during first three years of service.
2. 12 months prior to noncontinuation after three years of service.

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

Non-tenure track faculty on continuing appointment are considered to have ongoing contracts until written notice of appointment termination is given. (The current policy concerning University Administrative and Professional employees, as set out in the 1983 Faculty Handbook will continue until changed by action of the Board of Trustees.)

### **16.3.9.2 Dismissal**

Termination of a tenured appointment shall be carried out by the University only for just cause and according to the procedures set forth in this statement. Just cause for dismissal of a tenured appointment shall be related, directly and substantially, to the fitness of faculty members to continue in their professional capacities as teachers, researchers, and/or outreach specialists.

Dismissal shall not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens. Rights of due process, as described in this statement, shall also apply to non-tenured faculty members dismissed before completion of his/her appointment. Public statements and publicity about the case by either the faculty member or the University administration shall be avoided as far as possible.

Just cause for dismissal of a tenured appointment may result from actions of misconduct or may be directly related to the academic and/or administrative performance of a faculty member as described in this statement.

Just Cause Resulting from Misconduct

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



1. Conviction or admission of guilt in a court proceeding of a felony or of a crime involving moral turpitude during the period of employment, or prior thereto if the conviction or admission of guilt was willfully concealed. The most common elements of crimes of moral turpitude are: fraud; larceny; and intent to harm persons or property. Specific crimes that are generally considered to involve moral turpitude include, but are not limited to: murder, voluntary manslaughter, aggravated assault, rape, domestic violence, prostitution, fraud and crimes where fraud is an element, theft, blackmail, malicious destruction of property, arson, bribery, and perjury;
2. Conviction or admission of guilt in a court proceeding of a felony drug offense including, but not limited to: unlawful manufacture, distribution, sale, use or possession of a controlled substance, or other illegal or dangerous drugs as defined by Alabama Law;
3. Intentional false swearing on official documents filed with the institution;
4. Repeated convictions or admission of guilt in court proceedings of substantive misdemeanors;
5. Significant or repeated violations of substantive University policy, rules or regulations, other than violations of professional ethics.

#### Just Cause Resulting From Performance

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

1. Serious or substantial violation of professional ethics in administrative, teaching, research, or outreach activities;
2. Demonstrated incompetence in teaching, research, and outreach activities;
3. Serious or substantial neglect of professional or academic responsibilities.

#### Initiation of Dismissal Proceedings

Dismissal proceedings against a faculty member shall be initiated by the Provost. To initiate a dismissal action, the Provost shall request an informal review of evidence in support of the charges brought against the involved faculty member and shall advise the faculty member of such actions. This request shall be made in writing to the members of the Faculty Dismissal Review Committee ("Review Committee") consisting of:

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

2. The most senior current member (in terms of years of service at Auburn University) of the University Post-Tenure Review Committee unless the faculty member involved is in the same college or school, in which case the second most senior member of the committee shall serve instead; and
3. The most senior immediate past member of the University Promotion and Tenure Committee unless the faculty member involved is in the same college or school, in which case the second most senior immediate past member of the committee shall serve instead.

The Review Committee shall elect a member to serve as Chair to conduct the review.

The extent of this informal review undertaken by the Review Committee shall be to determine whether sufficient credible evidence exists to serve as a reasonable basis for proceeding with the dismissal process. In doing so, the Review Committee may conduct interviews and request documents and records. However, this review shall be undertaken expeditiously and is not intended to collect and examine all of the evidence that may exist or may become available during the course of an investigation. The Review Committee shall not seek to make a determination of guilt or to pre-determine the likelihood of a subsequent recommendation for dismissal to be made later in the dismissal process. This review shall not involve legal counsel on either side other than the providing of legal advice to the faculty member outside of the review process.

The results of the informal review by the Review Committee shall be forwarded in a report to the Provost within thirty (30) calendar days of the Provost's request for a review. The Review Committee may also forward any recommendations concerning an informal resolution that may develop during its review. All materials forwarded to the Provost by the Review Committee shall become part of the official record for the case.

Should the Provost decide to proceed with the dismissal process, he/she shall, in a meeting with the faculty member, present him/her with a written statement of the specific charges accompanied by a copy of this statement of procedures. After being presented with the charges by the Provost, the faculty member has the right to request a hearing on the charges. The request shall be made to the Provost in writing within five (5) working days after the meeting. The Provost shall set the tentative hearing date and notify the faculty member.

The faculty member also has the right to attempt to reach a resolution in meetings with the Provost at any time during the review or hearing process.

If the faculty member waives the right to a hearing, the matter shall be referred to the President. The President shall review the charges and evidence and provide the faculty member with an opportunity to rebut the charges, orally and/or in writing. The President will then make a final decision regarding the disposition of the case, either assigning the case to the Hearing Panel or dismissing the case.

Hearing Panel

For purposes of conducting a dismissal hearing and immediately prior to the beginning of the hearing, the Faculty Dismissal Hearing Committee ("Hearing Committee") shall be reduced to a Hearing Panel consisting of five (5) sitting members. Any member of the Hearing Committee may be excused as a result of personal involvement in the case or for other justifiable reasons. The faculty member and the University administration shall have the option of challenging and having struck from the Hearing Committee up to two (2) members each, without stated cause.

The challenges shall be in alternate order, with the faculty member being allowed the first challenge. Whatever further reduction is necessary to arrive at five (5) members shall be accomplished by lot. If the Chair of the Hearing Committee is removed, the remaining Hearing Panel members shall elect a Chair for the case under consideration. The Chair of the Hearing Committee shall not be subject to removal by lot.

### Dismissal Hearing

In addition to the written notice of charges, written notice of the names of known witnesses and the general nature of evidence expected to be presented shall be served to the faculty member by the Provost at least twenty (20) calendar days prior to the tentative hearing date. At this time, the Provost upon consultation with the Hearing Panel will also set the official hearing date. Any evidence or names of witnesses received after this notice has been served shall be communicated promptly to the faculty member. The faculty member shall respond to the notice by either waiving the right to be heard in writing, or by responding to the charges in writing no later than ten (10) calendar days prior to the hearing. If the faculty member submits a response, such response shall include an admission or denial of the factual allegations underlying the charges, as well as an explanation of any mitigating circumstances that may be related to the events which resulted in the charges. If the faculty member admits to the charges, the hearing before the Hearing Panel will be limited to the issue of whether dismissal or sanctions of the faculty member are warranted under the undisputed facts.

If the faculty member waives the right to be heard or otherwise fails to respond, the Hearing Panel shall proceed to evaluate all available evidence in the record and submit its recommendation to the President.

All Hearing Panel proceedings shall be private and closed to all persons other than those officially involved, unless the accused faculty member requests otherwise. Such a request shall constitute a waiver of any claim resulting from public disclosure of the information during the hearing. If the faculty member requests that the hearing not be closed, the Hearing Panel shall make the final determination on whether the hearing is closed after considering both the privacy interests of the accused and any witnesses involved.

The faculty member has the right to be accompanied by legal counsel, chosen by the faculty member, and shall also be permitted the assistance of an academic advisor during the hearing.

The Provost, or his/her designee, shall also be permitted the assistance of an academic advisor, and if the faculty member is represented by counsel at the hearing, the Provost or designee shall also have the right to be accompanied by counsel at the hearing. However, if counsels are present, neither counsel may participate in the hearing other than through providing legal advice to their clients.

The Provost or designee shall direct the presentation of charges by such parties, other than legal counsel, as he/she may select. A verbatim record of the hearing shall be taken and a copy made available to the faculty member by the Provost without charge if requested. After all of the evidence has been presented, the Hearing Panel shall conduct its deliberation in closed session outside the presence of anyone other than Hearing Panel members. The burden of proof that just cause exists for dismissal shall rest upon the University and shall be satisfied only by clear and convincing evidence in the record considered as a whole. In a hearing on charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.

The Hearing Panel shall not be bound by strict rules of legal evidence, however, it shall make every effort to obtain the most complete and reliable evidence available which is relevant and material to the charges. Accordingly character testimony will ordinarily not be admissible on the question of the charges but may be admissible on the issue of sanctions. The Hearing Panel shall grant adjournments to enable either party to investigate evidence if a valid claim of surprise is made.

The faculty member shall be afforded opportunity to obtain necessary witnesses and documentary evidence, and the administration of the University shall, insofar as it is possible for it to do so, secure the cooperation of such witnesses and make available necessary documents, communications, and other evidence within its control. The faculty member and the administration shall have the right to confront and cross-examine all witnesses. Witnesses may be accompanied by legal counsel, but such counsel may not participate in the hearing other than through providing legal advice to the witness. Where witnesses cannot or will not appear, but the interests of either party justify the admission of written statements, such statements by identified individuals may be considered by the Hearing Panel. The findings of fact and the decision will be based solely on the hearing record.

#### Hearing Panel Recommendation

The written majority recommendation of the Hearing Panel shall be presented to both the President and the faculty member within sixty (60) calendar days of referral of the matter. For good cause shown, the Provost, at the request of the Hearing Panel, can extend the period for an additional thirty (30) calendar days where factors warrant. If the Hearing Panel recommends dismissal and the President sustains their recommendation, the President's decision will be final. The President shall so notify the Hearing Panel and the faculty member, and the case shall be considered closed.

If the Hearing Panel concludes that just cause for dismissal has not been established but other sanctions may be appropriate, the Hearing Panel can recommend such sanctions in its report to the President. These sanctions may include, but are not limited to: a written warning, a summary of the charges and results being included in the faculty member's annual performance review, financial penalties, and/or reassignment of work responsibilities. If a faculty member demonstrates repeated behavior that the Hearing Panel concludes still does not warrant dismissal, sanctions of a progressive nature can be recommended to the President.



If the President rejects the recommendations of the Hearing Panel regarding dismissal and/or sanctions, he/she shall state such objections in writing to the Hearing Panel and to the faculty member. The Hearing Panel shall reconsider the case, taking into account the stated objections of the President to the original recommendations and receiving new evidence if available. This reconsideration is not intended to conduct another full hearing with witnesses, only to consider the President's objections and any new evidence which may have become available. The faculty member shall be informed of any new evidence and be offered the opportunity to provide a response to it before the reconsideration takes place. The Hearing Panel will provide a written statement on this reconsideration to the President and the faculty member within fifteen (15) working days of receiving the President's request for reconsideration. The President shall make a final decision only after studying the Hearing Panel's reconsideration statement and officially notify the faculty member of this decision to complete the official hearing process.

### Suspension Pending the Outcome of the Dismissal Process

#### Suspension With Pay:

Suspension of the faculty member with pay prior to, or during the dismissal process, is justified if harm to students, faculty, or the University could result unless immediate removal of the faculty member is effected, or if the faculty member has been charged with, or indicted for, a felony. Suspension under these circumstances will be the decision of the Provost upon consultation with the Review Committee. If immediate suspension is determined by the Provost to be necessary, the faculty member's salary will be continued during the period of suspension until the conclusion of the normal dismissal process or until the faculty member pleads guilty to, or is convicted of the felony or other serious crime.

#### Suspension Without Pay:

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

1. The faculty member will be provided notice of the charges and the basis of those charges;
2. The faculty member will be provided an explanation of the evidence; and;
3. The faculty member will be provided an opportunity to refute the charges in an informal meeting with the Provost.

#### Terminal Salary

A terminal salary shall not be provided to a faculty member who is dismissed as a result of misconduct as described in this statement. A terminal salary shall be provided to a faculty

member who is dismissed as a result of performance as described in this statement according to the following schedule:

1. Three months, if the dismissal decision is reached three months prior to the expiration of the first year of probationary service.
2. Six months, if the dismissal decision is reached after nine months but prior to 18 months of the expiration of the second year of probationary service.
3. Twelve months, if the dismissal decision is reached after 18 months of probationary service or if the faculty member has tenure.

### **17.3.9.3 Termination because of Financial Exigency**

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

If the administration issues notice to a faculty member of an intention to terminate his or her appointment because of financial exigency, the faculty member shall have the right to a full hearing before a faculty committee. The hearing need not conform in all respects to one conducted by the Faculty Dismissal Hearing Committee, but the essentials of an on-the-record adjudicative hearing shall be observed. The issues in this hearing may include:

1. The existence and extent of the condition of financial exigency. The burden of proof shall rest on the University.
2. The validity of the educational judgments and the criteria for identification for termination. The recommendations of a faculty body on these matters shall be considered valid.
3. Whether the criteria are being properly applied in the individual case.

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

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

In all cases of termination of appointment of a tenured faculty member because of financial exigency, the faculty member concerned shall be given severance pay in accord with the terminal salary schedule described under Dismissal above.

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

### **18.3.9.4 Termination without Financial Exigency**

Termination of a tenured appointment or a probationary appointment before the end of the specified term may occur as a result of *bona fide* formal discontinuance of a program or department. The following standards and procedures shall apply:

1. The decision to discontinue formally a program or department shall be based essentially upon educational considerations as determined primarily by the faculty as a whole or an appropriate faculty committee. It should be recognized that educational considerations do not include cyclical or temporary variations in enrollment. They must reflect long-range judgments that the educational mission of the University as a whole shall be enhanced by the discontinuance.
2. Before the administration issues notice to a faculty member of its intention to terminate an appointment because of discontinuance of a program or department, the institution shall make every effort to place the faculty member in another suitable position. If such placement would be facilitated by training, financial and other support for such training shall be proffered. If no position is available, the faculty member's appointment may be terminated but only with a severance salary equitably adjusted to the faculty member's length of past and potential service.
3. A faculty member may appeal a proposed relocation or termination resulting from a discontinuance and has a right to a full hearing before a faculty committee. The essentials of an on-the-record adjudicative hearing shall be observed. The issues in such a hearing may include the institution's failure to satisfy any of the conditions in this section of the Faculty Handbook. In such a hearing, a faculty determination that a program or department is to be discontinued shall be considered presumptively valid, but the burden of proof on other issues shall rest on the administration.

## **Section 3.10 Retirement**



## **13. Retirement**

### **A. Retirement Age**

~~There is no mandatory retirement age.~~

### **B. Retirement Planning**

#### **3.10.1 Retired Faculty**

~~A faculty member should early on give serious thought to preparations for retirement. A joint seminar on retirement and investment is given each fall by the three supplemental retirement systems (JSP, TIAA/CREF, and Valic); the Alabama Retirement System also offers a fall seminar. All systems will also provide individual advice through local representatives or telephone conferences. Two to three semesters before retirement, a faculty member should confer with his or her retirement system representatives about specific arrangements relevant to his or her situation. The retiring faculty member should also contact the local Social Security Office at least one semester before the final semester of employment.~~

~~The retiring faculty member must return his or her Auburn identification card and all library books. However, he or she may obtain a new identification card and with this card avail himself or herself of faculty library and parking privileges and half price season tickets to Auburn football and basketball games.~~

If appropriate, a retired faculty member may be invited to serve on committees. If need warrants, a retired faculty member may be invited to teach in a limited way in his or her former department; such an invitation is at the discretion of the department ~~head~~head/chair with the amount of compensation governed by the retirement and Social Security system's guidelines. Additional **privileges** are extended to retired faculty with emeritus status.

~~A retired faculty member is invited to participate in the organizations listed elsewhere in this Handbook.~~

#### **3.10.2 Retirement Promotion Policy and Procedures**

A faculty member who has served well at least 15 years at the rank of assistant professor at Auburn may be granted a retirement promotion to the rank of associate professor after he or she has reached the age of 64.

The retirement promotion is approved administratively by the Provost and the President on the recommendation of the department ~~head~~head/chair and dean; it does not require detailed justification or review by the Promotion and Tenure Committee. The recommendation should be made only when the effective date will occur within the 12 month period immediately prior to the faculty member's known retirement date. A retirement promotion is for the purpose of



allowing a faculty member to qualify for emeritus status; such a promotion does not bear a relationship to salary improvement or retirement income.

Any individual who receives a retirement promotion is eligible on retirement for emeritus status.

### **3.10.3 Emeritus Status Policy and Procedures**

#### **ELIGIBILITY**

Emeritus status may be awarded on retirement to faculty holding the rank of professor, associate professor, or their equivalents with ten years or more of sustained meritorious service to Auburn University. Faculty entering into retirement as the result of a disability must meet these eligibility standards, but may be exempt from the ten-year requirement. This honorary title may be awarded posthumously. Faculty holding a titled professorship at the time of retirement may transfer the title to emeritus status. The president may award emeritus status to other university retirees not holding faculty rank, but meeting the qualification of ten years or more of sustained meritorious service to Auburn University.

#### **PROCEDURES**

At the time it is notified of a faculty member's intent to retire, the Office of Payroll and Benefits will provide notification of this policy to the faculty member and the faculty member's departmental head or chair. The faculty member may request consideration through the department head or chair, though normally the department head or chair, with the concurrence of the dean of the college or school, will provide information and a recommendation concerning the faculty member's eligibility to the Provost. This information and recommendation shall include the results of a vote on the awarding of emeritus status taken from all department faculty. The Provost will then make a recommendation to the President, who will act upon the recommendation and advise the faculty member and dean.

#### **PRIVILEGES**

Departments, colleges, and schools are encouraged to invite emeritus faculty to serve as lecturers, substitute instructors, and consultants, providing such faculty an opportunity for continued visibility at the University as a reflection of their experience and past service to the University. To this end, emeritus faculty may be provided the following privileges and courtesies.

- The names of all emeritus faculty will be included in a special section of the University Bulletin.
- Emeritus faculty are encouraged to participate in university events and are provided access to such events and the social and recreational resources of the university.
- Emeritus faculty retain faculty access to the University Libraries, including all services normally provided active faculty.

- Emeritus faculty may audit any Auburn University instructional course offering at no charge when space is available and with the approval of the instructor of the course.
- Emeritus faculty are encouraged to participate in extramural contracts and grants through the University.
- Emeritus faculty retain the parking, university ID card, network, and e-mail privileges normally assigned to active faculty.
- At the discretion of department heads or chairs and college or school deans and based on the availability of these resources, emeritus faculty may be provided office space, office support, mailing privileges, laboratory space, and library carrels when used for professional purposes in support of the University's mission.
- The President may designate other privileges to emeritus faculty.

## ACADEMIC AFFAIRS COMMITTEE

### RESOLUTION

#### PROPOSED ACCELERATED PROGRAM LEADING TO THE BS AND THE MS IN BIOSYSTEMS ENGINEERING

WHEREAS, the College of Agriculture currently offers exceptional academic programs leading to both the BS and the MS in Biosystems Engineering; and

WHEREAS, an accelerated plan of study would allow academically talented, upper-level undergraduates to enroll in courses eligible for graduate credit; and

WHEREAS, such a plan of study would allow successful students to earn both a BS in Biosystems Engineering and the MS in Biosystems Engineering within a five-year period; and

WHEREAS, this program would enhance the profile of the college by attracting students with excellent academic potential and address a professional need for engineers with graduate degrees in agriculture and biotechnology fields; and

WHEREAS, the request to create this Accelerated Bachelor's/Master's Program has been endorsed by the Dean of the College of Agriculture, the Graduate Council, the University Curriculum Committee, the Provost, and the President.

NOW, THEREFORE, BE IT RESOLVED by Auburn University's Board of Trustees that the proposed Accelerated Bachelor's/Master's Program in Biosystems Engineering from the College of Agriculture be approved.



AUBURN UNIVERSITY

OFFICE OF THE PROVOST  
AND VICE PRESIDENT FOR  
ACADEMIC AFFAIRS

October 15, 2012

MEMORANDUM TO: Jay Gogue  
President

FROM: Timothy R. Boosinger *Timothy R. Boosinger*  
Provost and Vice President for Academic Affairs

SUBJECT: Agenda Item for the Board of Trustees –  
Proposed Accelerated Bachelor's/Master's Program in  
Biosystems Engineering

I am writing to request that the following item be added to the Board of Trustees' agenda for the **November 16, 2012** meeting.

**Proposal:** It is recommended that the Board approve the proposed Accelerated Bachelor's / Master's Program leading to the BS and the MS in Biosystems Engineering. If approved, the program would combine the requirements for the Bachelor of Science in Biosystems Engineering and the recently approved Master of Science in Biosystems Engineering.

**Review and Consultation:** Faculty in the College of Agriculture initiated this proposal to encourage exceptional students to complete the requirements for the undergraduate and graduate degrees in Biosystems Engineering. The proposed program supports the institution's strategic goals of identifying unique academic opportunities for talented undergraduate students and increasing overall graduate student enrollment. The proposed program offers qualified students the opportunity to acquire greater knowledge and experience necessary to become effective engineers within agriculture and biotechnology related industries.

Following a review of the program's five-year plan, I am confident that students who successfully complete the requirements for both degrees will enhance their own professional marketability. If approved, the program would contribute to a growing need for engineers with multidisciplinary experiences in Biosystems. The program would also raise the profile of the College of Agriculture, resulting in increased marketability of its degree offerings.

**Recommendation:** The proposal has been reviewed and approved by the College of Agriculture, both the University Curriculum Committee and the Graduate Council in fall 2012, and has received the approval of the Provost's Office. I recommend approval by the Board of Trustees to establish this Accelerated Bachelor's/Master's Program in Biosystems Engineering.





## BIOSYSTEMS ENGINEERING

September 11, 2012

**TO:** **Timothy Boosinger**  
Provost and Vice-President for Academic Affairs

**THROUGH:** **George Flowers**  
Dean of the Graduate School *George Flowers*  
**Constance Relihan**  
Associate Provost for Undergraduate Studies *Constance Relihan*

**THROUGH:** **William Batchelor**  
Dean, College of Agriculture *William Batchelor*  
**Christopher Roberts**  
Dean, Samuel Ginn College of Engineering *Christopher Roberts*

**FROM:** **Steven Taylor** *Steven Taylor*  
Head, Department of Biosystems Engineering

**SUBJECT:** Item for the Board of Trustees – Proposed Accelerated Bachelor's / Master's in Biosystems Engineering

We are writing to request that the following item be added to the Board of Trustees' agenda for their **November 16, 2012** meeting.

**Proposal:** The College of Agriculture is proposing an Accelerated Bachelor's / Master's program in Biosystems Engineering.

**Review and Consultation:** The **Accelerated Bachelor's / Master's in Biosystems Engineering** is being proposed as a means of providing motivated undergraduate students that have demonstrated academic success the opportunity to complete their undergraduate degree while earning credit toward a graduate degree. By allowing the student to earn both a bachelor's and master's degree in a condensed timeframe, Biosystems Engineering is able to offer a very desirable plan of study for outstanding current students that meet eligibility requirements, while enhancing our ability to recruit additional highly qualified prospective students looking to major in our discipline. The proposal was reviewed by both the Auburn University Curriculum Committee and the Graduate Council, and received the approval of both groups in Fall 2012.

**Recommendation:** It is recommended that the proposed Accelerated Bachelor's / Master's in Biosystems Engineering be approved, and forwarded to Auburn University's Board of Trustees for review and approval.

200 TOM CORLEY BUILDING  
AUBURN, AL 36849-5417

TELEPHONE:  
334-844-4180

FAX:  
334-844-3530

## EXECUTIVE COMMITTEE

### RESOLUTION

#### REVISION OF BOARD OF TRUSTEES BY-LAWS

WHEREAS, this Board approved its initial set of By-Laws on November 4, 1983, to serve as guidance for Board operations and has revised them periodically; and

WHEREAS, the Audit Committee Charter is an appendix to the By-Laws and Board members have been forwarded proposed changes to the the Audit Committee Charter to align it with evolving practices.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of Auburn University that the Board By-Laws revision, as set forth in the attached Exhibit A, be and is hereby approved.

## EXHIBIT A

### Auburn University Board of Trustees Audit Committee Charter

Revised ~~February~~  
2009

#### Section I. Purpose

The purpose of the Audit Committee (the "Committee") is to assist the Board of Trustees in fulfilling its oversight responsibilities in the areas of financial practices, internal controls, financial management, regulatory compliance and administration of the Board of Trustees' Code of Ethics. The Committee will be the focal point of communication between the Board of Trustees, auditors, and management.

#### Section II. Membership

- 2.1 The Committee shall be comprised of at least three (3) Trustees, appointed by the President Pro Tem, each of whom shall be independent Trustees and free from any relationship that, in the opinion of the President Pro Tem, might impair or interfere with the exercise of his/her judgment as Committee member.
- 2.2 Committee members should have a working familiarity with basic financial and accounting practices and at least one (1) member of the Committee shall have accounting or related financial management expertise. Committee members may enhance their familiarity with finance, accounting, regulatory compliance and internal control issues by participation in educational programs and discussions with both auditors and management.

#### Section III. Responsibilities

##### **Compliance**

##### 3.1 Compliance

3.1.1 The Committee shall monitor compliance with the Board of Trustees Code of Ethics policy and annually report their results to the full Board and public.

3.1.2 The persons responsible for Athletic SEC/NCAA Compliance, Legal Compliance, Affirmative Action/Equal Employment Opportunity Compliance and Research Compliance shall have unrestricted access to the

Committee Chair or President Pro Tem to report any failure by the  
University to properly manage compliance issues arising from those areas.

#### External Auditors

#### 3.2 External Auditors

The ~~3.2.1~~ The Committee shall recommend to the Board the appointment or  
\_\_\_\_ replacement of the independent auditors and approve the terms on which the  
\_\_\_\_ independent auditors are engaged for the ensuing year. The Committee  
\_\_\_\_ shall solicit input of management in this process.



3.2.23 The Committee shall review and approve (or disallow) fees to be paid \_\_\_ to the independent auditor, authorize (or prohibit) the provision of \_\_\_ any non-audit services.

3.2.34 The Committee shall meet with the independent auditors before the annual \_\_\_ financial statement audit to discuss the nature and scope of the audit. This \_\_\_ meeting shall be held in the absence of management if the Committee \_\_\_ deems appropriate.

3.2.45 The Committee shall meet with the independent auditors upon completion \_\_\_ of the financial statement audit to discuss findings, recommendations, and \_\_\_ management responses.

3.2.56 The Committee shall review the independent auditor's management letter \_\_\_ and management's responses. This discussion should include any unique or \_\_\_ emerging risks the independent auditor notes during the engagement.

3.2.67 The Committee shall review any other audit services performed by the \_\_\_ independent auditor such as federally required A-133 audit. The \_\_\_ Committee shall also review any non-audit services completed by the \_\_\_ auditors, if such services have been performed.

#### Internal Auditing

### 3.38 Internal Auditing

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3.3.1 The Committee shall have general oversight of the University's internal \_\_\_ audit function with the Executive Director of Internal Audit having access \_\_\_ to the Committee through a dual reporting line to the Committee and the \_\_\_ President (or his/her designee). The Executive Director shall have \_\_\_ unrestricted access to the Committee and provide information to the \_\_\_ Committee with respect to internal audit operations. The Audit Committee \_\_\_ shall approve any changes in the position of Executive Director of Internal \_\_\_ Auditing.

3.3.2 Internal Audit will maintain an anonymous reporting process to facilitate reporting of alleged unethical behavior involving the University, investigate as appropriate, and provide periodic reports on use of that process.

## Section IV. Meetings

The Committee shall meet as frequently as circumstances dictate but at a minimum twice per year: once prior to the commencement of the annual financial statement audit, and once again prior to the presentation of the audited financial statements to the full Board.

#### Section V. Implementation

The Committee shall develop procedures to ensure the implementation of this charter and periodically assess the charter and their compliance with the responsibilities herein defined. As part of their evaluation, the Committee should assess whether modifications are need to the charter.



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**TO:** Dr. Jay Gogue, President

**FROM:** Lee F. Armstrong, General Counsel

**SUBJECT:** EXECUTIVE COMMITTEE  
Proposed Revision Board By-Laws

**DATE:** OCTOBER 15, 2012

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This is to request that the following proposal be submitted to the Board of Trustees through the Executive Committee and included on the agenda of the meeting scheduled for November 16, 2012.

**Proposal:** To revise the Board By-Laws to amend the Audit Committee Charter.

**Review and Consultation:** This proposal has been discussed with the Secretary of the Board of Trustees and the President Pro Tem of the Board.

**Rationale for Recommendation:** A change in the Audit Committee Charter, which is an appendix to the By-Laws, is being forwarded to align the charter with current practices concerning compliance matters as well as expand on those practices. Those practices include authorizing certain employees charged with compliance responsibilities to report problems directly to the Chair of the Audit Committee or President Pro Tem and maintenance of an anonymous ethics reporting process. Memorializing those practices in policy helps ensure those practices remain in place unless changed by the Board.



AUBURN UNIVERSITY  
GENERAL COUNSEL

## MEMORANDUM

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TO: Board of Trustees Audit Committee

FROM: Lee F. Armstrong *LF/*  
General Counsel

RE: Audit Committee Charter

DATE: October 8, 2012

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Attached you will find a proposed revision to the Audit Committee Charter. The proposal has been reviewed by the President, the Executive Vice President, the Executive Director of Internal Audit and discussed with the Chair of the Audit Committee, who asked that I forward the information to Committee members and other members of the Board. The changes primarily memorialize and, in some cases, expand on current practices.

Current practice authorizes certain offices charged with compliance responsibilities to inform the President Pro Tem of significant issues involving the University where the person responsible for those areas believes the senior administration has not addressed the matter appropriately. Dr. Gogue had previously informed the Executive Director of Internal Audit, the Director of Affirmative Action/Equal Employment Opportunity, the Head of the Athletics Department's SEC/NCAA Compliance Office, and me that we had that responsibility. Given the Audit Committee's general compliance oversight, it is recommended that the Charter be revised to reflect that responsibility but also to give those individuals the option of going either to the Chair of the Audit Committee or the President Pro Tem. That authority is also expanded to include the person responsible for research compliance, currently the Assistant Vice President Research/Office of Sponsored Programs.

Consistent with the above, the second change memorializes the current practice of the University maintaining an anonymous hotline for members of the University community to report allegations of unethical or related conduct. The University currently does so by a process managed by the Internal Audit Department. In addition, the revision requires periodic reporting to the Audit Committee of such allegations.

The Audit Committee Charter is a part of the By-Laws. The By-Laws require proposed amendments ordinarily be submitted to the Board at least 30 days prior to the date that action may be taken by the Board. It is anticipated that this topic will be included on the agenda for the November 16, 2012, Board meeting.



Board of Trustees Audit Committee  
October 8, 2012  
Page Two

If you have any questions, please call me, Dr. Gogue, or Mr. Dumas.

Enclosure

c: Dr. Jay Gogue (w/encl.)  
Dr. Donald L. Large, Jr. (w/encl.)  
Mr. Grant Davis (w/encl.)  
Board of Trustees (w/encl.)

## EXECUTIVE COMMITTEE

### RESOLUTION

#### POSTHUMOUS AWARDING OF THE BACHELOR OF SCIENCE DEGREE IN BUSINESS ADMINISTRATION TO DONALD P. GWARJANSKI

WHEREAS, Donald P. Gwarjanski, an undergraduate student at Auburn University, passed away on August 18, 2012; and

WHEREAS, Donald P. Gwarjanski would have completed the requirements necessary for the Bachelor of Science Degree in Business Administration in Aviation and Supply Chain Management; and

WHEREAS, the Chair of the Department of Aviation and Supply Chain Management; the Dean of the College of Business; the Provost; and the President recommend that the degree of Bachelor of Science in Business Administration be awarded posthumously.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of Auburn University that the degree of Bachelor of Science in Business Administration is hereby granted posthumously to Donald P. Gwarjanski in recognition of his academic achievements as an undergraduate student at Auburn University.

BE IT FURTHER RESOLVED that the Board hereby expresses its sympathy and condolences to the family of Donald P. Gwarjanski in this period of sadness and that a copy of this resolution be presented to them so that they will know of this action and the university's deep loss.



AUBURN UNIVERSITY

OFFICE OF THE PROVOST  
AND VICE PRESIDENT FOR  
ACADEMIC AFFAIRS

October 15, 2012

MEMORANDUM TO: Jay Gogue  
President

FROM: Timothy R. Boosinger *Timothy R. Boosinger*  
Provost and Vice President for Academic Affairs

SUBJECT: Agenda Item for the Board of Trustees -  
Posthumous Degree for Donald P. Gwarjanski

I have received a request from the College of Business to award posthumously the Bachelor of Science Degree in Business Administration to Donald P. Gwarjanski. Mr. Gwarjanski passed away in August 2012 while completing his undergraduate degree. Following a careful review of his academic records, the Chair and faculty of the Department of Aviation and Supply Chain Management all concur that Mr. Gwarjanski meets the academic requirements necessary to be awarded a Bachelor's degree posthumously.


Please find attached a request from Dr. Bill Hardgrave, Dean of the College of Business, Dr. Norman Godwin, Associate Dean for Academic Affairs, and Dr. Terry Byrd, Chair of the Department of Aviation and Supply Chain Management. I am requesting that this item be placed on the Board of Trustees Agenda for the November 16, 2012 meeting.


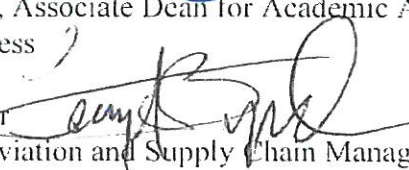


COLLEGE OF BUSINESS

OFFICE OF THE DEAN

To: Constance Relihan  
Associate Provost

Through: Bill Hardgrave, Dean   
College of Business

From: Norman Godwin, Associate Dean for Academic Affairs  
College of Business   
Terry Byrd, Chair   
Department of Aviation and Supply Chain Management

Date: October 16, 2012

Re: Posthumous degree for Donald P. Gwarjanski

The faculty of the Department of Aviation and Supply Chain Management recommends that a Bachelor of Science in Business Administration – Supply Chain Management degree be awarded posthumously to Donald P. Gwarjanski. At the time of his death, Mr. Gwarjanski lacked only 15 hours of coursework to complete his degree. He was scheduled to complete that coursework and graduate in Fall Semester, 2012.

Thank you for your consideration.

415 WEST MAGNOLIA AVENUE

SUITE 516

AUBURN, AL 36849-5240

TELEPHONE:

334-844-4030

FAX:

334-844-4861

[www.auburn.edu](http://www.auburn.edu)



## EXECUTIVE COMMITTEE

### RESOLUTION

#### POSTHUMOUS AWARDING OF THE BACHELOR OF SCIENCE DEGREE IN PHYSICAL ACTIVITY AND HEALTH TO JOSEPH M. BAGWELL

WHEREAS, Joseph M. Bagwell, an undergraduate student at Auburn University, passed away on September 22, 2012; and

WHEREAS, Joseph M. Bagwell would have completed the requirements necessary for the Bachelor of Science Degree in Physical Activity and Health; and

WHEREAS, the Chair of the Department of Kinesiology; the Dean of the College of Education; the Provost; and the President recommend that the degree of Bachelor of Science in Physical Activity and Health be awarded posthumously.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of Auburn University that the degree of Bachelor of Science in Physical Activity and Health is hereby granted posthumously to Joseph M. Bagwell in recognition of his academic achievements as an undergraduate student at Auburn University.

BE IT FURTHER RESOLVED that the Board hereby expresses its sympathy and condolences to the family of Joseph M. Bagwell in this period of sadness and that a copy of this resolution be presented to them so that they will know of this action and the university's deep loss.



AUBURN UNIVERSITY

OFFICE OF THE PROVOST  
AND VICE PRESIDENT FOR  
ACADEMIC AFFAIRS

October 15, 2012

MEMORANDUM TO: Jay Gogue  
President

FROM: Timothy R. Boosinger *Timothy R. Boosinger*  
Provost and Vice President for Academic Affairs

SUBJECT: Agenda Item for the Board of Trustees -  
Posthumous Degree for Joseph M. Bagwell

I have received a request from the College of Education to award posthumously the Bachelor of Science Degree in Physical Activity and Health to Joseph M. Bagwell. Mr. Bagwell passed away in September 2012 while completing his undergraduate degree. Following a careful review of his academic records, the Head and faculty in the Department of Kinesiology all concur that Mr. Bagwell meets the academic requirements necessary to be awarded a Bachelor's degree posthumously.

Please find attached a request from Dr. Betty Lou Whitford, Dean of the College of Education, Dr. Susan Villaume, Associate Dean for Academic Affairs, and Dr. Mary Rudisill, Head of the Department of Kinesiology. I am requesting that this item be placed on the Board of Trustees Agenda for the November 16, 2012 meeting.

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To: Dr. Timothy Boosinger, Provost

Through: Dr. Betty Lou Whitford, Dean of the College of Education  
Dr. Susan Villaume, Associate Dean for Academic Affairs

From: Mary Rudisill, Department Head

RE: Posthumous Degree for Joseph Bagwell

Date: October 16, 2012

As head of the Department of Kinesiology, I am requesting that a B.S. degree in *Physical Activity and Health* be awarded posthumously to Mr. Joseph Bagwell. At the time of his death, Mr. Bagwell was a senior in Physical Activity and Health. He had 35 hours remaining to complete his degree, including 12 hours of coursework this term and his internship. This request has full support of program faculty. Mr. Bagwell was majoring in Kinesiology because of his interest in Pharmaceutical Sales and Cardiac Rehabilitation. He was aware of his congenital heart condition and expressed an interest in helping others in similar situations. Joseph was also a student-coach with AU Athletics Football team, and was a valued student within the Kinesiology program.

With Sincere Appreciation,



Mary E. Rudisill, Ph.D.  
Wayne T. Smith Distinguished Professor and Head  
Department of Kinesiology  
2050 Beard Eaves Coliseum  
Auburn University, AL 36849-5323



## EXECUTIVE COMMITTEE

### RESOLUTION

#### POSTHUMOUS AWARDING OF THE BACHELOR OF SCIENCE DEGREE IN HORTICULTURE TO AARON MICHAEL HEFFELFINGER

WHEREAS, Aaron Michael Heffelfinger, an undergraduate student at Auburn University, passed away on September 28, 2012; and

WHEREAS, Aaron Michael Heffelfinger would have completed the requirements necessary for the Bachelor of Science Degree in Horticulture; and

WHEREAS, the Head of the Department of Horticulture; the Dean of the College of Agriculture; the Provost; and the President recommend that the degree of Bachelor of Science in Horticulture be awarded posthumously.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of Auburn University that the degree of Bachelor of Science in Business Administration is hereby granted posthumously to Aaron Michael Heffelfinger in recognition of his academic achievements as an undergraduate student at Auburn University.

BE IT FURTHER RESOLVED that the Board hereby expresses its sympathy and condolences to the family of Aaron Michael Heffelfinger in this period of sadness and that a copy of this resolution be presented to them so that they will know of this action and the university's deep loss.





AUBURN UNIVERSITY

OFFICE OF THE PROVOST  
AND VICE PRESIDENT FOR  
ACADEMIC AFFAIRS

October 29, 2012

MEMORANDUM TO: Jay Gogue  
President

FROM: Timothy R. Boosinger *Timothy R. Boosinger*  
Provost and Vice President for Academic Affairs


SUBJECT: Agenda Item for the Board of Trustees -  
Posthumous Degree for Aaron Michael Heffelfinger

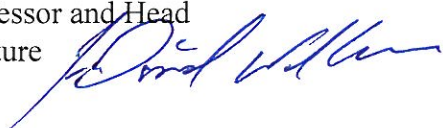
I have received a request from the College of Agriculture to award posthumously the Bachelor of Science Degree in Horticulture to Aaron Michael Heffelfinger. Mr. Heffelfinger passed away in September 2012 while completing his undergraduate degree. Following a careful review of his academic records, the Head and faculty of the Department of Horticulture all concur that Mr. Heffelfinger meets the academic requirements necessary to be awarded a Bachelor's degree posthumously.

Please find attached a request from Dr. Bill Batchelor, Dean of the College of Agriculture and Dr. David Williams, Head of the Department of Horticulture. I am requesting that this item be placed on the Board of Trustees Agenda for the November 16, 2012 meeting.

MEMORANDUM

TO: Dr. Timothy Boosinger  
Provost and VP for Academic Affairs

THROUGH: Dr. William D. Batchelor  
Dean, College of Agriculture and Director, AAES 

FROM: J. David Williams, Professor and Head  
Department of Horticulture 

DATE: October 26, 2012

SUBJECT: Recommendation of Posthumous Degree for Aaron Michael Heffelfinger

The faculty members of the Department of Horticulture recommend that Aaron Michael Heffelfinger be considered for a posthumous degree. Aaron was pursuing a Bachelor of Science in Horticulture at the time of his death on September 28, 2012. The department has based this recommendation on the eligibility requirements for a posthumous degree and our evaluation of the Aaron's records.

Eligibility Requirements:

The Auburn University Board of Trustees Policy and Procedures Manual, section C.8 establishes three eligibility requirements to award a degree posthumous. The Department of Horticulture faculty contends that all three requirements have been met:

1. Nearing Completion: The College of Agriculture Dean's Office has confirmed that at the time of his death, Aaron Heffelfinger lacked only six credit hours to complete his degree program: MATH 1130 or MATH 1150 (3 credit hours) and three credit hours of general electives. Please see the attached copy of Aaron's transcripts and the e-mail message from Suzanne Shaw.
2. Good Academic Standing: Although Aaron was not enrolled during this fall semester, he was in good standing. His cumulative GPA was a 2.28.
3. Recommendation: I, along with the faculty members of the Department of Horticulture, strongly recommend Aaron for a posthumous degree. We have prepared this memo for Dean Batchelor's approval. We are asking for your support.

Aaron began his studies at Auburn University with great promise. During his first semester at

Auburn University (Fall 2009), he earned a 4.0 GPA. During the 2010/11 academic year, he was awarded the Comer Foundation Scholarship and Madison County Farmers Federation Scholarship. He was also an Auburn University Undergraduate Research Fellow during 2010/11. Some of the research he conducted as an undergraduate has proven to be useful for advancing some work by our graduate students. He was also a student with a passion for horticulture and a vision for his future. Below, I share with you a statement he included in a scholarship application:

*I am very passionate about Horticulture. Ever since helping my Grandmother with her personal garden, I have had a love for plant propagation. I plan on continuing my education through to my PhD. I would love to be a college professor at the near end of my career but in between that goal and educational period, I would love to work in large scale production of herbaceous ornamentals or related work. I love Auburn and want to get most of my education here unless another school provides something that Auburn cannot. Personally, I want to early in my life get a 10-20+ acre plot of land to build my house on, and create a full size garden of unique and meaningful plants. Creating outdoor rooms, making it entirely my own and an extension of my own house to the outside. My main goal in life is to create a successful and happy family that will carry on in my footsteps and leave behind successful children and a beautiful garden that will carry my name on long after I have passed.*

I hope that you will support this recommendation for this posthumous degree. If you have any questions, please contact me.

cc: Constance Relihan, Associate Provost  
Paul Patterson, Associate Dean

## EXECUTIVE COMMITTEE

### PROPOSED AWARDS AND NAMINGS

Time will be allocated for discussion of any awards and namings.