

AUBURN UNIVERSITY FACULTY HANDBOOK

(April 27, 2012 Draft)



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i. Note

This *Faculty Handbook* is not a contract. It is a collection of policies and procedures that govern action uniquely pertaining to the Auburn University faculty. Additions, deletions and modifications to any portion of this *Handbook* must be approved by the Auburn Board of Trustees or their designee, following a recommendation from the University Senate.

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

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Introduction

The following statements of vision and mission were developed by the Task Force on Mission established in 1995, approved by the Board of Trustees on March 20, 1997, and a revision of these statements was approved by the Board of Trustees on May 7, 2004.

Section 1 Vision Statement

Auburn University will emerge as one of the nation's preeminent comprehensive land-grant universities in the 21st century. Central to all its functions will be the University's historic commitment of service to all Alabamians as the State becomes a part of a global society with all of its challenges and opportunities. The University will be widely recognized for the quality of its undergraduate, graduate and professional educational programs, the effectiveness of its research and outreach programs and the broad access to the University provided through the innovative use of information technology. The University will ensure the quality of its programs through the careful focusing of its resources in areas of institutional strengths. One constant will remain unchanged at the University--that intangible quality Auburn men and women call the "Auburn Spirit."

Section 2 Mission Statement

Auburn University's mission is defined by its land-grant traditions of service and access. The University will serve the citizens of the State through its instructional, research and outreach programs and prepare Alabamians to respond successfully to the challenges of a global economy. The University will provide traditional and non-traditional students broad access to the institution's educational resources. In the delivery of educational programs on campus and

beyond, the University will draw heavily upon the new instructional and outreach technologies available in the emerging information age.

As a comprehensive university, Auburn University is committed to offering high-quality undergraduate, graduate, and professional education to its students. The University will give highest priority for resource allocation for the future development of those areas that represent the traditional strengths, quality, reputation, and uniqueness of the institution and that continue to effectively respond to the needs of students and other constituents. Consistent with this commitment, the University will emphasize a broad and superior undergraduate education that imparts the knowledge, skills, and values so essential to educated and responsible citizens. At the same time, the University will provide high-quality graduate and professional programs in areas of need and importance to the state and beyond. To accomplish these educational goals, Auburn University will continue to compete nationally to attract a faculty distinguished by its commitment to teaching and by its achievements in research, both pure and applied. The University will strive to attract a faculty that will bring distinction and stature to the undergraduate, graduate, and professional programs offered by the University.

Because research is essential to the mission of a land-grant university, Auburn University will continue development of its research programs. The primary focus of this research will be directed to the solution of problems and the development of knowledge and technology important to the state and nation and to the quality of life of Alabama citizens. The University's research programs will make important contributions to instructional programs through the involvement of graduate and undergraduate students and the renewal of the faculty. Research will also provide the knowledge base for outreach programs. In carrying out its research mission, the University will emphasize established areas of strength and will focus available resources in those areas of research and doctoral study that are, or have the potential to develop into nationally and internationally recognized centers of excellence.

Extension and outreach programs are fundamental to the land-grant mission because these programs directly affect the lives of all citizens in the state. The University will maintain the strengths of its traditional outreach programs and will increasingly involve the broader University in outreach programs that respond to the changing needs of the society in which we live. The University will continue to seek new and innovative ways to reach out to the people it serves.

Chapter 2

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Introduction

Faculty members at Auburn University are involved to a significant degree in the formulation and review of institutional policies which affect the academic and professional welfare of the University and the Faculty. This involvement is achieved primarily through the organizations of the University Faculty and the University Senate, which are described in the University Faculty Constitution and the University Senate Constitution. University policy concerning the academic functioning of the University is adopted with the participation of the elected representatives of the University Faculty.

Section 1 Constitutions

1.1 University Faculty Constitution

Article 1: Purpose

The University Faculty is established at Auburn University by authority of the Board of Trustees. The purposes of the University Faculty are to elect the officers of the University Faculty and the University Senate, to serve as a forum for the collective faculty as provided for in Article 4, Section 1, and to act on matters pertaining to the welfare of the Faculty as provided for in Article 4, Section 4.

Article 2: Membership

The University Faculty shall consist of all positions of professorial status and other positions that have a primary academic function associated with Auburn University, main campus. Academic function generally is defined as having a primary responsibility for supervising or administering an academic program or for academic participation in an academic program. The academic program of the University is understood to include instruction, research, and extension. University Faculty is subdivided into tenured and non-tenured groups.

Article 3: Officers

Section 1. University Faculty Officers: The officers of the University Faculty shall be a chair, a chair-elect, a secretary, a secretary-elect, and the immediate past-chair. The officers shall constitute the Executive Committee of the University Faculty.

Section 2. Election of Officers: The Executive Committee of the University Faculty shall appoint a Nominating Committee of six members within the first six weeks of the fall semester prior to the spring meeting of the University Faculty. The Nominating Committee shall present two names for each of the offices of chair-elect and secretary-elect. The names of nominees shall be sent to the membership at least 21 calendar days prior to the spring meeting. Nominations for chair-elect and secretary-elect may also be made by petitions signed by at least ten faculty members. No faculty member shall sign more than one petition for the same office. Petitions presenting nominations shall be filed with the secretary not later than 14 calendar days prior to the spring meeting. The secretary will send the voting faculty instructions for casting ballots five calendar days prior to the spring meeting. The ballot will include the names of the nominees for each position. Faculty may cast votes in any of the five calendar days prior to the spring meeting. The nominee with a majority of the votes cast will be elected. The secretary and secretary-elect will certify the results of the election on the day of the spring meeting. The results will be announced at the spring meeting and the newly elected officers shall take office on July 1. Should no nominee receive a majority on the first ballot there shall be a run-off election during

the five days following the spring meeting between the two nominees receiving the largest number of votes on the first ballot. The secretary and secretary-elect will certify the results of the run-off election on the sixth day following the spring meeting and the newly elected officer(s) shall take office on July 1.

Section 3. Vacancies: Should a vacancy occur in either the office of chair or secretary, the chair elect or secretary-elect shall assume the duties of the vacant office. Should a vacancy occur in either the office of chair-elect or secretary-elect before January 1, the Executive Committee shall appoint a nominating committee of six members to present two names for the vacant office. These names shall be sent to the membership in advance of a special meeting of the University Faculty. An election to fill the vacant position shall then be held prior to the special meeting in accordance with the procedures spelled out in Article 3, Section 2. Should a vacancy occur after January 1 in either the office of chair-elect or secretary-elect, the vacancy shall not be filled, but the duties of the office shall be performed by a person nominated by the Senate Rules Committee and approved by the University Senate.

Section 4. Duties of Officers:

a. Chair: The chair of the University Faculty shall preside over all meetings and may designate a parliamentarian to assist in procedural matters that arise during meetings. The chair shall also be responsible for preparing the agenda for each meeting and chair the Executive Committee of the University Faculty.

b. Chair-Elect: When the chair is absent, the chair-elect shall preside. When the chair is vacated, either for expiration of term or for other reasons, the chair-elect shall assume the duties of the chair.

c. Secretary: The secretary shall keep the official minutes of each meeting. The minutes shall be filed in the University Archives. The secretary shall be responsible for maintaining the official copy of Acts of the University Faculty, which shall contain all committee reports (exclusive of confidential material), documents, and resolutions passed by the University Faculty during an administrative year. The secretary shall also maintain a current copy of the Faculty Handbook, including all amendments, revisions, additions or deletions. The secretary shall distribute official calls for meetings and other materials as directed by the chair, and shall reserve necessary meeting rooms. All appropriate records shall be turned over to the University Archives at the end of the secretary's term.

d. Secretary-Elect: When the secretary is absent the secretary-elect shall assume those duties. When the secretary's term expires the secretary-elect shall assume the duties of the secretary.

e. Immediate Past-Chair: The immediate past-chair shall serve as a member of the University Faculty Executive Committee.

Section 5. Terms of Officers: Officers shall serve one-year terms, beginning on July 1.

Article 4: Procedures

Section 1. Executive Committee: The Executive Committee is the standing committee of the University Faculty and shall consist of the current officers of the University Faculty. The committee shall make a continuous study of the affairs of the University Faculty, shall receive suggestions from the membership, and shall assist the chair in preparing the agenda for University Faculty meetings.

Section 2. Meetings: There shall be a meeting of the University Faculty during the fall semester and another during the spring semester. Notice of regularly scheduled meetings along with the agenda shall be sent to the members at least 15 days prior to the meeting date. Special meetings may be called by the Executive Committee and shall be called on written petition of 50 or more members. At least seven days' notice must be given to the membership for special meetings. It is understood that the prior notice is not required for emergency meetings called by the President of the University and that the officers of the University Faculty shall assist in informing members of such meetings.

Section 3. Parliamentary Rules: University Faculty meetings shall be conducted in accordance with Robert's Rules of Order, Revised, with the two following exceptions: (a) a motion of substance not directly related to an item of the agenda, properly made and seconded, shall be placed on the agenda of the next meeting and not voted on before that meeting; (b) a two-thirds majority vote shall be required to table a motion.

Section 4. Agenda: The agenda for each meeting shall be set by the Executive Committee and shall include those matters arising from procedures given in Article 3, Section 2 and Article 4, Section 2 of this Constitution. The order of the items on the agenda may be changed by a majority vote of the University Faculty.

Section 5. Quorum: The members present.

Section 6. Amendment: These Articles may be amended by a two-thirds vote of the members present and approval of the Board of Trustees.

1.2 University Senate Constitution

Preamble

The University Senate is established with the belief that members of the University community who are involved in the day-to-day life of the University should participate in the formulation of policies affecting the faculty and the academic life of the institution. The Senate provides a vehicle through which such collective intelligence can be directed toward promoting the well-being of the University.

Article 1: Purpose

The University Senate is advisory to the President. In that capacity it is the body having primary concern for the general academic policies of the University, including those involving curricula, programs, standards, faculty appointment, evaluation and development, student academic affairs and libraries. The University Senate is also concerned with issues that affect all members of the University community, such as the budget, employee welfare programs, the calendar, and facilities.

Article 2: Organization

Section 1. Scope: The University Senate is an organization representing the University Faculty and other members of the University community, established through an enabling act of the Board of Trustees adopted in 1968.

Section 2. Definition of University Faculty: The University Faculty shall consist of the University Faculty as stated in Article II of the Constitution of the University Faculty.

Section 3. Composition: The voting members of the Senate shall consist of one elected senator from each formal academic department having at least four full-time faculty equivalents; one elected senator from each school lacking formal departments; one elected senator from the University Libraries; one elected senator from the non-tenure track faculty members of the Cooperative Extension System who are not included in academic departments; one elected senator from the non-tenure track faculty in University Outreach who are not included in academic departments; one elected senator from the non tenure track faculty of the Alabama Agricultural Experiment Station who are not included in academic departments; and the following ex-officio members: the Provost, the Dean of Libraries, the Student Government Association President, the Graduate Student Organization President, the Chair of the Administrative and Professional Assembly, the Chair of the Staff Council, the officers of the Senate, and the appointed members of the Senate Steering Committee. There shall also be nine members appointed by the President of the University from among the University Vice Presidents and deans of colleges and schools, excluding the Provost. The presidential appointees shall serve for one year; their appointments shall be reported to the secretary between April 15 and May 15 and shall be effective as of the first Senate meeting of the fall term. The presidential appointments shall be rotated so that each Vice President and each college or school dean shall be designated to serve as a member of the Senate at least once every three years.

Section 4. Senators: The elected senator of each unit specified in Section 3 of this article shall have a three-year term assigned by the Rules Committee so that the terms of approximately one-third of the senators expire each year. The administrative head or chair of each unit shall, upon notification by the secretary of the Senate that the term of that unit's senator is about to expire, conduct an election by secret ballot with results reported to the secretary of the Senate between April 15 and May 15. The terms for the newly-elected senators will begin with the first Senate meeting of the fall semester. To be eligible for selection as a senator from a unit, a person must be a member of the University Faculty who has served on the University Faculty for at least three academic semesters prior to election. Each senator has the responsibility to keep the members of his or her unit fully informed about the conduct of Senate business by regularly publicizing Senate activities and making available important Senate documents. A vacancy of a

unit's elected senator shall be filled for the remainder of the term by an election held by the unit within two weeks after the vacancy occurs. Each senator shall be eligible to complete two full successive terms. If an elected senator is absent without substitute from three consecutive regular Senate meetings, then the senator's name shall be removed from the Senate rolls and the unit notified by the secretary that the position is vacant. An elected senator who will be away from campus or for other unavoidable reasons will be unable to carry out his or her duties as senator for a substantial period of time may petition the Senate Rules Committee for a leave of absence. A senator granted a leave of absence by the Rules Committee remains on the Senate rolls and shall be permitted to resume his or her duties at the end of the period of absence. Methods of obtaining representation for departments with fewer than four full-time faculty members (or the equivalent thereof) shall be developed by the Rules Committee. If a senator is elected to a Senate office, then the senator's position shall be vacated when the Senate position is assumed.

Section 5. Substitutes: Each unit having a senator shall arrange to have one of its members substitute for its senator at any Senate meeting the senator is unable to attend. An ex-officio or appointed member unable to attend a Senate meeting may send a substitute. During any meeting, a substitute shall have all the rights and privileges of a member. No person can be a substitute for more than one member at any meeting, and no member of the Senate can substitute for another member.

Article 3: Officers

Section 1. Senate Officers: The officers of the Senate shall be the chair, chair-elect, secretary, secretary elect, and immediate past-chair.

Section 2. Election of Officers: The officers shall be those elected in accordance with Article III of the Constitution of the University Faculty.

Section 3. Duties of Officers:

a. Chair: The chair shall be the presiding officer of the Senate and may designate a parliamentarian to assist in this responsibility and shall be responsible for the agenda for each meeting in accordance with the Senate Constitution. The chair shall be the chair of the Rules Committee and the Steering Committee, shall be an ex-officio member of all other Senate committees, and shall be a member of the University President's Cabinet.

b. Chair-Elect: The chair-elect shall act for the chair in the chair's absence. The chair-elect shall be a member of the Rules Committee and the Steering Committee and shall assume the duties of chair if the chair is vacated, either for expiration of term or for other reasons.

c. Secretary: The secretary shall keep the minutes of each meeting of the Senate, shall maintain the Official Roster of the Senate and shall distribute to the membership minutes of the Senate and other materials as directed by the chair. The secretary shall be responsible for maintaining the official copy of Acts of the Senate. This document shall contain all committee reports (exclusive of confidential material), documents, and resolutions passed by the Senate during an administrative year. The secretary shall also maintain a current copy of the Faculty Handbook,

including all amendments, revisions, additions, or deletions. In addition, the secretary shall maintain the permanent files of the Senate, which shall be turned over to the succeeding secretary. The secretary shall be a member of the Rules Committee and the Steering Committee.

d. Secretary-Elect: The secretary-elect shall act for the secretary in the secretary's absence. The secretary-elect shall be a member of the Rules Committee and the Steering Committee, and shall become secretary when the secretary's term expires.

e. Immediate Past-Chair: The immediate past-chair shall be a member of the Rules Committee and the Steering Committee.

Article 4: Senate Committees

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

Steering

Rules

Academic Computing

Academic Program Review

Academic Standards

Administrator Evaluation

Calendar and Schedules

Competitive Research Grant

Core Curriculum and General Education

Curriculum

Faculty Grievance

Faculty Research

Faculty Salaries

Faculty Handbook Review

Faculty Welfare

Graduate Council

Lectures

Library

Library Appeals

Non-tenure Track Faculty

Retention

Teaching Effectiveness

University Writing

Nominations for membership to all standing committees shall be made by the Rules Committee and approved by the Senate, for a period of three years, unless otherwise specified in these Articles. Committee appointments shall become effective at the beginning of the fall semester and shall expire at the end of the summer term. Students serving on committees shall serve one-year terms; staff members shall serve three-year terms unless otherwise specified in these Articles. Each standing committee shall have a written statement of its operating procedures on file with the secretary of the Senate. Deliberations of committees dealing with grievance; student or faculty dismissal; discipline; promotion and tenure; and other personnel matters must remain confidential.

Section 2. Other Committees: The Senate may form other ad hoc committees; nominations for membership shall be made by the Rules Committee unless otherwise specified in these Articles.

In addition to committees reporting directly to the Senate, there are a number of standing University committees that shall report to the President of the University or the President's designee. (A list and description of the composition and charge of current standing University committees follows the Senate Constitution.)

The Senate shall have the responsibility for providing the President with a list of faculty nominations for University committees. The Senate shall also have the right to place items on the agenda of University committees and to request that the chair of any University committee inform the Senate of committee activities. Each standing University committee shall have a written statement of its operating procedures on file with the responsible member of the central administration. All University-level committees at Auburn, whether Senate committees, University committees, or ad hoc committees are ultimately advisory to the President.

Section 3. Committee Chair: Unless otherwise specified in these Articles, the chair of each Senate committee shall be selected by the Rules Committee for a renewable one-year term. During the spring semester each committee chair shall be responsible for providing the Steering Committee of the Senate with a written report on its activities for the past year. In case of a committee chaired by someone who is not a member of the Senate, the chair shall be seated in the Senate with all rights and privileges except the right to vote.

Section 4. Steering Committee: The Steering Committee shall consist of the chair of the Senate as chair, the Provost, the chair-elect, the secretary, the secretary-elect, and the immediate past chair of the Senate together with two faculty members appointed by the President and two faculty members appointed by the Rules Committee and approved by the Senate. Appointees shall serve two-year staggered terms. The committee shall act for the Senate on those matters requiring attention between meetings of that body and shall assist the chair of the Senate in setting the agenda for Senate meetings. In addition, it shall be concerned with the academic affairs of the University, with particular attention given to the need for developing and recommending policies under which these affairs are conducted. It shall work closely with other Senate committees to aid them in their assignments and shall receive an annual written report from each committee chair describing the committee's activities for the past year. Minutes reporting formal action taken by the Steering Committee shall be given to each member of the Senate and discussed, as desired, at the meeting of the Senate following their distribution.

Section 5. Rules Committee: The Rules Committee shall consist of the chair of the Senate as chair, the chair-elect, the immediate past-chair, the secretary, the secretary-elect, and six members elected by the Senate. Elected members shall serve two-year staggered terms. Election of members to two-year terms shall be held by secret ballot at each March meeting of the Senate. Candidates who receive a majority vote shall be elected, and their appointment shall become effective the following August. Nominations shall be made from the floor at the Senate's February meeting. Information about the candidates shall be distributed to all Senators with the agenda for the March meeting. All members of the committee must be members of the Senate at the time of their election. Election to fill the unexpired term of an elected member of the Rules Committee shall be held at the first meeting of the Senate after the vacancy occurs. No elected member can succeed himself or herself as an elected member except when he or she is filling an unexpired term. The committee shall serve as the Committee on Committees. All questions concerning Senate procedures shall be referred to this committee, and it shall recommend to the Senate the disposition to be made of any dispute concerning the operation of the Senate. It shall ensure that unit senators are duly elected, and that no unit of the University is denied the representation to which it is entitled under these Articles. The committee should make periodic studies of the Senate with respect to its objectives and its role in faculty governance, and should recommend changes that should be made to enable the Senate to better serve the University.

Section 6. Academic Computing Committee: The Academic Computing Committee shall consist of nine faculty members; the Executive Director of the Division of University Computing, or designee; two undergraduate students nominated by the President of the Student Government Association; and one graduate student nominated by the President of the Graduate Student Organization. The committee shall review on an annual basis the status and needs of academic computing and shall recommend action and policies, or policy changes, with regard to academic computing.

Section 7. Academic Program Review Committee: The Academic Program Review Committee shall consist of one member of each college or school and nonvoting representatives appointed by the Provost, the Vice President for Research, the Vice President for Outreach, and the Dean of the Graduate School. The chairperson of the committee shall be a faculty member. No faculty

member shall serve more than two consecutive three-year terms. The committee shall: 1) review the final written products (the self-study, the review team's report, and the dean's plan) resulting from each year's round of academic program reviews and confer with the Provost on ways to strengthen the academic program review process, and 2) review any proposals to discontinue, merge, or otherwise restructure any academic program and confer with the Provost and reach a decision on the feasibility of the proposal.

Section 8. Academic Standards Committee: The Committee on Academic Standards shall consist of the Provost or his/her designee as ex-officio, the Registrar as non-voting and continuing, and nine faculty members. The committee shall study policies governing scholastic standards for all students regarding admission to the University, continuation in residence, and graduation, and make recommendations to the Senate. In addition, the committee shall recommend approval or disapproval of all college, school, and department requests to establish additional standards for admission in individual programs or curricula.

Section 9. Administrator Evaluation Committee: The Administrator Evaluation Committee shall consist of five faculty members, a representative designated by the Provost and holding faculty rank and tenure; one administrative/professional member nominated by the Administrative and Professional Assembly, and one staff member nominated by the Staff Council. The chair of the committee will be selected from the five faculty members. The committee shall oversee and/or conduct a periodic evaluation of University administrators involved in the University's teaching, research, and extension programs and provide a report of aggregate data to the Senate.

Section 10. Calendar and Schedules Committee: The Calendar and Schedules Committee shall consist of the Registrar as secretary, six faculty members, one administrative and professional member nominated by the Administrative and Professional Assembly, one staff member nominated by the Staff Council, and one student nominated by the Student Government Association. The committee shall submit a proposed University Calendar for approval by the Senate. It shall recommend policies concerning scheduling to promote effective use of the University's facilities.

Section 11. Core Curriculum and General Education Committee: The Core Curriculum and General Education Committee shall consist of the Provost or designee as chair, and faculty membership, to be distributed as follows: There shall be seven representatives from the core areas: 1) composition or literature 2) fine arts 3) history 4) mathematics 5) natural sciences 6) philosophy 7) social sciences; and one from each of the remaining colleges or schools, excluding the Graduate School; and one from the University Libraries. The Director of the Office of Institutional Research and Assessment shall serve as a non-voting, ex officio member of the committee. The committee shall have the responsibilities of recommending goals for general education and the Core Curriculum and monitoring the University's effectiveness in fostering student achievement of these goals. Toward this end, the committee shall oversee the assessment of student learning in the Core, including the evaluation of courses, and may recommend to the University Senate changes in the Core Curriculum and general education.

Section 12. Curriculum Committee: The Curriculum Committee shall consist of the Provost or designee as chair, the Registrar or designee as secretary, the Dean of the Graduate School or

designee, and one faculty member from each college or school. The committee shall recommend approval or disapproval of requests for undergraduate curriculum changes and changes that affect both undergraduate and graduate curricula (e.g., 5000/6000 courses, accelerated Bachelor's and Master's programs, etc.). In addition, the committee shall review overall curriculum patterns and course content of the instructional program other than the University Core Curriculum and shall recommend to the Senate curriculum changes needed by the University.

Section 13. Faculty Salaries Committee: The Faculty Salaries Committee shall consist of the Provost or designee, the Executive Vice President or designee, the Executive Director of Planning and Analysis or designee as a non-voting member, and five faculty members. Faculty members shall serve three-year staggered terms. The committee shall examine the salaries of all University Faculty within the institution and in comparison to those at other universities and shall make recommendations to the University Budget Advisory Committee as to the most effective means of remedying existing salary inequities and ensuring the maintenance of equity in the salary structure.

Section 14. Faculty Handbook Review Committee: The Faculty Handbook Review Committee shall consist of the Provost or designee and six faculty members. The committee shall receive and solicit suggestions for changes and updating of the Faculty Handbook and recommend to the University Senate such changes as it deems appropriate.

Section 15. Graduate Council: The Graduate Council shall consist of the Dean of the Graduate School as chair, the Associate Dean of the Graduate School as non-voting vice chair, the Assistant to the Dean of the Graduate School as non-voting secretary, and 12 - 15 faculty members, with at least one from each school or college with a graduate program, and a graduate student nominated by the Graduate Student Council. Faculty members shall be appointed by the Dean of the Graduate School from a list of nominees provided by the Senate Rules Committee. The list of nominees shall, at a minimum, exceed the number of openings by two and shall contain at least two nominees from any school or college without a continuing representative. Faculty members must be Level 2 members of the Graduate Faculty. The council shall review requests for curriculum changes in courses that may be taken for graduate credit, review and recommend approval of all proposals for new graduate programs and modifications to existing programs, review existing programs, recommend regulations and policies for the Graduate School, and assist the Dean of the Graduate School in carrying out those regulations and policies.

Section 16. Lectures Committee: The Lectures Committee shall consist of the Associate Provost or designee serving as chair, three faculty members, one graduate student nominated by the Graduate Student Council and two undergraduate students nominated by the Student Government Association. The committee is a companion to the student-run University Program Council and shall augment the instructional programs of the University by supporting speakers of distinctive scholarship and accomplishment who would be of interest to students, faculty, and staff.

Section 17. Library Committee: The Library Committee shall consist of the Dean of Libraries; one library faculty member and one faculty member from each school or college; one

undergraduate student nominated by the Student Government Association and one graduate student nominated by the Graduate Student Council. The committee shall recommend policies governing the distribution of funds for acquiring library materials, policies for the selection and location of such materials, and library services to be offered.

Library Appeals Committee: The Library Appeals Committee is a subcommittee of the Library Committee. It shall consist of five members and five alternates. These shall be a faculty member, appointed by the chair of the Library Committee, who serves for two years, the first as an alternate and the second as chair; a librarian, appointed by the Dean of Libraries, who serves for two years, the first as an alternate; a staff member, appointed by the chair of the Staff Advisory Council, who serves for two years, the first as an alternate; a graduate student, nominated by the Graduate Student Council, who serves a renewable one-year term; and an undergraduate student, nominated by the Student Government Association, who serves a one-year renewable term. The committee shall hear all appeals of library fines and other charges and render binding judgments.

Section 18. Non-tenure Track Faculty Committee: The Non-tenure Track Faculty Committee shall consist of three tenured faculty members, three instructors, and three other non-tenure track faculty members, two department heads/chairs, and one representative of the central administration, all with staggered three-year terms. The committee will consider the special concerns of non-tenure track faculty and may propose policies relating to the status, function, and rights of non-tenure track faculty within the University. Each fall the committee chair will inform all non-tenure track faculty of the committee's existence and purpose.

Section 19. Competitive Research Grant Committee: The Competitive Research Grant Committee shall consist of the Associate Provost and Vice President for Research as chair, the Associate Vice President for Research as a non-voting member, and at least one faculty member from each academic school or college and the Library. The committee shall review and rank proposals submitted to the AU Intramural Grants Program.

Section 20. Retention Committee: The Retention Committee shall consist of the Assistant Provost for Undergraduate Studies, the Executive Director of Educational Support Services, the Director of Financial Aid, five faculty members, and two students. The faculty members will serve 3-year rotating terms. The committee shall be responsible for continuous monitoring of the retention of undergraduate students and for recommending retention initiatives and working with the appropriate deans and student affairs staff to establish them.

Section 21. Teaching Effectiveness Committee: The Teaching Effectiveness Committee shall consist of the Provost or designee and 13 faculty members, an undergraduate student nominated by the Student Government Association, and a graduate student nominated by the Graduate Student Council. Each school or college shall be represented by at least one faculty member. The committee shall review what is currently in place in the University with respect to appropriate and reasonable teaching assignments. The committee shall establish policy for the Teaching Grant-in-Aid program and review and recommend proposals for funding. It shall also evaluate existing resources for teaching, provide systematic approaches to faculty evaluation, offer formal faculty development programs, and recognize excellence in teaching.

Section 22. Faculty Grievance Committee: The Faculty Grievance Committee shall consist of one elected member from each of the academic schools or colleges, one elected member from the Library, one elected member from the non-tenure track faculty members of the Cooperative Extension System who are not included in academic departments; and one elected member from the non-tenure track faculty in University Outreach who are not included in academic departments. No member shall serve more than two consecutive three-year terms. The chair shall be elected from within the Grievance Committee and shall serve one year as chair-elect before assuming duties of the chair as provided in Article 6, Section 3. The committee shall evaluate grievances filed by faculty members and decide whether grievances should proceed to a hearing. Results of the hearing will be forwarded to the President as recommendations for redress. The committee shall follow the Faculty Grievance Procedure outlined in Article 6 of the Senate Constitution.

Section 23. Faculty Welfare Committee: The Faculty Welfare Committee shall consist of the Executive Vice President, the Director of Payroll and Benefits, eight faculty members, and one staff member nominated by the Staff Council and one administrative and professional member nominated by the Administrative and Professional Assembly. The committee shall look into and make recommendations concerning faculty benefits and welfare programs of the University.

Section 24. Faculty Research Committee: The Faculty Research Committee shall consist of one faculty member from each college and school. The chairs of the Institutional Biosafety Committee, the Institutional Review Board for Protection of Human Subjects in Research, and the Institutional Animal Care and Use Committee shall serve as *ex-officio* members of the committee. The Associate Provost and Vice President for Research, the Associate Vice President for Research, and the Graduate Dean shall serve as non-voting, *ex-officio* members of the committee. All faculty members shall serve three-year staggered terms. The committee chair shall be selected from among the twelve faculty representatives. The committee shall be responsible for bringing research related concerns to the Vice President for Research, and for reporting appropriate research matters and policies back to the Senate.

Section 25. University Writing Committee: Membership shall consist of: One faculty member from each college or school, one representative from the faculty of the University Libraries, one undergraduate student, and one graduate student. The Continuing/Ex-officio, non-voting members are: the Director of University Writing, the Director of the Miller Writing Center, the Director of First-year Composition, a Representative or designee from the Office of Institutional Research and Assessment, and a Representative or designee from the Curriculum Committee. The committee shall work with the Office of University Writing to develop common principles and guidelines for incorporating intentional and significant writing experiences into every major. The committee will regularly review how programs provide writing instruction beyond the core curriculum and how they assess writing relevant to their discipline and forward their recommendations regarding any new courses or changes in curriculum to the University Curriculum Committee for final approval. In addition, the committee will analyze assessment data on writing, and make recommendations to departments, the Office of University Writing, and the University Senate as appropriate.

Article 5: Procedures

Section 1. Meetings: The Senate shall have one regular meeting each month during the months of August through June, except December, as scheduled by the Rules Committee. These regular meetings should be scheduled a year in advance and must be scheduled at least 30 days in advance. Special meetings may be called by the chair of the Senate at the request of the Steering Committee or the Rules Committee. A special meeting shall be called by the chair within seven days after receiving a petition signed by at least 40 percent of the members of the Senate. Notice listing the agenda shall be sent by the chair or secretary at least 48 hours before each meeting.

Section 2. Parliamentary Rules: Senate meetings shall be conducted in accordance with Robert's Rules of Order, Revised, with the following exceptions:

- a. A motion of substance not directly related to an item on the agenda, properly made and seconded, shall be placed on the agenda of the next meeting and not voted on before that meeting.
- b. A two-thirds majority vote shall be required to table a motion.

Section 3. Agenda: The agenda for each meeting shall contain:

- a. Those matters requested by the Steering Committee,
- b. Any motion governed by Section 1 of this Article,
- c. Items requested by any committee of the Senate.

Items in a. and b. shall be listed ahead of items in c. The order in which the items appear on any agenda may be changed by a majority vote of the Senate.

Section 4. Quorum: A quorum shall consist of a majority of the members of the Senate. Substitutes shall be counted toward filling a quorum.

Section 5. Minutes: The secretary shall maintain minutes of each meeting that shall include a list of those absent and the names of the substitutes.

Section 6. Titles of Positions: When a title of a University position referred to in these Articles is changed, the corresponding changes in these Articles shall be pro forma unless an objection is made by the Rules Committee or by the Board of Trustees.

Section 7. Amendments: These Articles may be amended by a two-thirds vote of the total membership of the Senate and approval of the Board of Trustees.

Article 6: Faculty Grievance Procedure

Section 1. Purpose: This procedure provides members of the faculty with a means of presenting grievances to other members of the faculty for evaluation and recommendation to the President.

Section 2. Definition: A grievance is a complaint of alleged

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

A grievance may be filed by one or more faculty members affected; it may be directed against the action of one or more administrators or other members of the faculty.

Section 3. Grievance Committee Meetings: Within the first two weeks of the Fall semester, or as soon as the new members of the committee are elected, the chair of the Grievance Committee shall convene the Grievance Committee for the purpose of electing a chair-elect from the second-year committee membership. In the event that the chair becomes vacant, the chair-elect shall assume the responsibilities of the chair and shall convene the Grievance Committee to elect a new chair-elect from the second-year committee membership within 30 days. The chair of the Grievance Committee shall serve from the first meeting of the Committee within the first two weeks of fall semester until the end of the following summer term. The Grievance Committee shall meet on call by the chair as set forth in Section 4.b. If the chair should fail to call a meeting as specified in Section 4, then the chair of the Senate shall convene the committee and preside over its functions. The quorum for the Grievance Committee shall consist of a majority of the elected membership. Committee members who cannot attend the meeting to review the case are allowed to cast absentee votes on whether or not a hearing is merited after examination of the material sent to the Grievance Committee concerning the case. Absentee votes will not count toward the quorum.

Section 4. Functions of the Chair of the Grievance Committee: The duties of the chair shall be:

- a. to receive statements of alleged grievances under this procedure;
- b. to call meetings of the Grievance Committee, as necessary, to review these statements and select members of hearing committees;
- c. to inform all persons who are a party to the alleged grievance of the names of faculty members available to serve on a hearing committee;

- d. to clarify for the parties any questions relating to the procedure per se; and
- e. to maintain committee records.

Section 5. Grievance Procedure:

- a. A statement of an alleged grievance from members of the faculty shall be made in writing to the chair of the Grievance Committee within six months of the occurrence giving rise to the alleged grievance. This statement shall contain a brief account of events leading to the alleged grievance, specifying how the grievor was affected by the action in question; a concise listing with dates of steps taken to resolve the issue, including appeals; identification of the alleged grievance as related to Article 6, Section 2 of the Grievance Procedures; and a brief specification of the redress sought. A hearing may be requested only after the alleged grievance has been clearly identified with the person(s) against whom it is being directed and after reasonable efforts to resolve it, including appeal to immediate superiors, have failed.
- b. Upon receipt of a complaint, the Faculty Grievance Committee is to determine:
 - 1. whether the persons involved are subject to this procedure;
 - 2. whether the issue under consideration constitutes a grievance; and
 - 3. whether the faculty members filing the grievance have complied with the conditions of Section 5.a.
- c. If the above conditions are met, the Grievance Committee (1) shall supply to the parties involved in the grievance a written statement of the grievance to be heard; and (2) shall then compile a list of seven members of the faculty who shall be available to serve on a hearing committee. Each member on the list must have been a member of the faculty for at least five years and must have given consent to serve and assurance that there is no direct personal involvement in the case.
- d. The chair shall supply a copy of this list to each of the people involved in the grievance. Each of the opposing parties may strike two names from the list.
- e. The Grievance Committee shall select three persons from the remaining list (if more than three names remain) as the Grievance Hearing Committee and shall name one of them as chair. The chair shall designate the time and place of the meetings, which shall be private.
- f. The chair of the Grievance Committee, upon the request of the chair of Grievance Hearing Committee, shall make available to the Grievance Hearing Committee a second or third-year member of the present Grievance Committee to serve in an advisory capacity on procedural matters. Observers shall be allowed only if agreeable to all parties, including the Grievance Hearing Committee. A University secretary designated by the chair of the Grievance Hearing Committee may be asked to assist the Committee in its clerical functions.

g. There shall be no formal rules of evidence. Questions of procedure shall be resolved by the chair of the Grievance Hearing Committee. Personal contact concerning the grievance between the Grievance Hearing Committee and participants in the hearing prior to the formal meeting shall be limited to procedural matters only. All proceedings of the hearing shall be recorded on tape.

h. Each party may present its own witnesses and, if it so desires, the Committee may also call witnesses of its own. A list of witnesses to be heard shall be submitted to all parties ten days in advance of the hearing. With permission of the chair of the Grievance Hearing Committee, this time may be reduced to five days. The presence of witnesses at the hearing is the responsibility of the party calling the witnesses. University employees shall be excused from their regular duties to participate in the hearing. Each witness may be questioned by the parties and by members of the Committee in accordance with procedures established by the chair of the Grievance Hearing Committee prior to the beginning of the hearing.

i. The Grievance Hearing Committee shall have access to all information from University sources which it considers necessary to reach a decision in the case unless it is determined by the President 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.

j. The decision of the Committee shall be based exclusively on evidence presented at the hearing. A majority vote of the Committee shall determine the decision. All participants in the hearing should keep matters of grievances confidential.

k. The close of the formal hearing shall take place no later than 30 days following its opening. A recommendation to the President with copies sent to all parties to the grievance and to the Grievance Committee shall be made in writing by the chair of the Grievance Hearing Committee within 30 days of the close of the formal hearing. Extensions to these time limits shall be granted only upon mutual agreement by the Grievance Committee and the chair of the Grievance Hearing Committee.

l. Tapes, exhibits, and other documents pertinent to the hearing shall be retained in the University's confidential files for six years following the close of the case. At the end of this period, they shall be destroyed in accordance with University procedures established by the University Records Manager.

m. The final disposition of the case, including a summary of all actions to be taken, shall be made known in writing to all parties to the grievance, the members of the Grievance Hearing Committee, and the chair of the Grievance Committee by the appropriate administrator within 60 days of the filing of the Grievance Hearing Committee's report to the President. In unusual instances in which a decision cannot be reached within 60 days, the President shall give written notification to the persons noted above and indicate a date on which a decision can be expected.

Section 6. Right to Representation: In this procedure each party involved in the hearing may be accompanied by another person of his or her choosing. The opposing party shall be given prior

notification of representation in order to have a representative present if desired. This time period may be reduced to five days, with permission of the chair of the Grievance Hearing Committee.

Section 7. Withdrawal of Grievance: Members of the faculty bringing the case may withdraw a grievance at any time subject to agreement by both parties, and such withdrawal shall be without prejudice.

Section 8. Reprisals: No reprisal shall be brought against any person for participating in any way under this procedure. Such reprisal would be grounds for instituting another grievance.

Section 9. Procedural Review: The Steering Committee shall be responsible for reviewing the procedure and appointing biannually an ad hoc committee to make recommendations of any changes that might be needed.

Section 2

Senate Committees

2.1 Standing University Committees

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

Academic Honesty (Provost)

Admissions Appeals (Provost)

Advisory Committee for Drug-free Campus and Workplace (Vice President for Student Affairs)

Alumni Professorships (Provost)

Campus Health and Wellness (Vice President for Student Affairs)

Campus Recreation (Vice President for Student Affairs)

Concessions Board (Vice President for Student Affairs)

Design Review Committee (President)

Distinguished University Professor (Provost)

Faculty Dismissal Hearing (President)

Fraternities and Sororities (Vice President for Student Affairs)

Graduation (Provost)

Institutional Animal Care and Use (Vice President for Research)

Institutional Biosafety (Vice President for Research)

Institutional Review Board for Use of Human Subjects in Research (Vice President for Research)

Insurance and Benefits (Executive Vice President)

Intercollegiate Athletics (President)

International Students (Assistant Provost for International Programs)

Master Plan Committee (President)

Multicultural Diversity Commission (President)

Patent and Invention Disclosure (Vice President for Research)

Persons with Disabilities (President)

Post-Tenure Review (President)

Promotion and Tenure (President)

Radiological Safety (Executive Vice President)

Residency Appeals (Associate Provost for Undergraduate Studies)

Student Academic Grievance (Provost)

Student Center Committee (Vice President for Student Affairs)

Student Communications Board (Vice President for Student Affairs)

Student Discipline (Vice President for Student Affairs)

Student Insurance (Executive Vice President)

Traffic and Parking (Executive Vice President)

Traffic Appeals (Executive Vice President)

University Budget Advisory (President)

University Safety (Executive Vice President)

University Scholarship (Dean of Enrollment Services)

A description of the responsibilities of the standing University committees identified above follows. Faculty and staff committee members shall serve three-year staggered terms unless otherwise specified. Students serve one-year terms. Deliberations of committees dealing with grievance; student or faculty dismissal; discipline; promotion and tenure; and other personnel matters must remain confidential.

Academic Honesty (Provost): The Academic Honesty Committee shall consist of nine faculty members and three additional faculty alternates; two undergraduate students and four undergraduate student alternates nominated by the Student Government Association; one graduate student and one graduate student alternate nominated by the Graduate Student Council and approved by the President of Auburn University. The chair shall be designated by the President of Auburn University from among the faculty members of the committee. The committee shall administer the provisions of the Student Academic Honesty Code contained in the Constitution of the Student Government Association, published each year in the Student Policy eHandbook. (20 members)

Admissions Appeals (Provost): The Admissions Appeals Committee shall consist of the Provost or designee; University Registrar, who shall serve as chair; Dean of Enrollment Services or designee, Director of Academic Support Services; Marketing and Recruiting representative from Admissions and Records; Director of Student Financial Services or designee; together with six faculty members. The committee shall recommend admission and readmission procedures for undergraduate students and shall act upon all appeals for admission and readmission. Appeals of committee decisions shall be made to the Provost. (12 members)

Advisory Committee for a Drug-free Campus and Workplace (Vice President for Student Affairs): The Advisory Committee for a Drug-free Campus and Workplace shall consist of the following persons from Auburn University, main campus: three faculty members with staggered terms; one representative from the Administrative and Professional Assembly; one member of the staff; one graduate student, one undergraduate student, and one undergraduate student alternate each serving a one-year term; The Director of Health Promotions and Wellness Initiatives, who will serve as chair; and one representative each from the Alabama Cooperative Extension System, University Health Center, Health Behavior Assessment Center (Psychology Department), Auburn Public Safety, Human Resources, Housing and Residence Life, Office of the Vice President for Student Affairs, Office of the Vice President for Research, Coordinator of Student Counseling Services, all serving continuing appointments; and the following persons from AUM: two faculty members and one staff member serving three-year staggered terms; a student serving a one-year term; and a representative of the AUM Department on a continuing term. The committee shall promote the development of the University's drug prevention program; establish procedures to ensure the annual distribution to each student and employee of descriptions of the legal and medical risks associated with drug and alcohol abuse and of any

drug or alcohol counseling, treatment, rehabilitation or re-entry programs available to employees and students; and evaluate the University's drug prevention program biennially to determine its effectiveness. (23 members)

Alumni Professorships (Provost): The Alumni Professorships Committee shall consist of the Provost or designee as chair, and six faculty members who are current or former Alumni Professors. The committee shall review nominations for Alumni Professorships, and shall make recommendations to the President about appointments to these positions, based on the nominees' contributions to the University's mission. (7 members)

Campus Health and Wellness (VP Student Affairs): The Campus Health and Wellness Committee shall consist of the Director of Auburn University Medical Clinic; Director of Health Promotions and Wellness Initiatives for Student Affairs; VP Student Affairs or Designee; Director of Recreational Services or designee; Coordinator for Student Counseling Services, a representative from the School of Nursing, the Director of Employee Benefits or designee; five faculty members, one of whom shall serve as chair; one representative from Administrative and Professional Assembly; one representative from Staff Council; two graduate students, four undergraduate students, and one undergraduate student alternate. This committee shall 1) serve in an advisory capacity to the Auburn University Medical Clinic and 2) work with Auburn University Medical Clinic and the Lifetime Wellness and Fitness Program in Recreational Services to provide comprehensive and specific health and wellness programs to the broader campus population. (21 members)

Campus Recreation (VP Student Affairs): The Recreational Services Committee shall consist of the chair of the Concessions Board, a representative of Student Affairs, the VP Student Affairs or designee, and the Director of Recreational Services; three faculty members, one Administrative and Professional Assembly member, one staff member, two graduate students, three undergraduate students, and one undergraduate student alternate. The committee shall work with Campus Recreation to evaluate the recreational needs of the University population and advise as to how best to meet these needs through campus recreational programs and recreational facilities. The committee shall also act as an advocate for Campus Recreation. (15 members)

Concessions Board (VP Student Affairs): The Concessions Board shall consist of the Assistant Vice President for Auxiliary Services; three faculty members, one of whom shall serve as chair; one Administrative and Professional Assembly member; one staff member; two graduate students, three undergraduate students, and one undergraduate student alternate. The committee shall review proposals for the use of monies from the Concessions Fund. (12 members)

Design Review (President): The Design Review Committee shall consist of the University Architect as Chair, the University Planner as Vice-Chair, and at least four faculty serving three-year staggered terms (three must be a registered Architect/ Licensed Architect/ Engineer/ Builder). On-Call Resource Team: the faculty and staff of the entire University including but not limited to the Facilities Division, Office of Information Technology, Risk Management and Safety, Institutional Research and Assessment and the Office of Development shall be on call to assist with the charge of the committee as specific conditions dictate. Meetings will be once per month. The committee is also expected to review and comment on design documents, design

questions, or other related topics via e-mail, electronic document transfer or other method of communication as agreed upon by the committee, when requested by the Chair. The Design Review Committee ensures that physical facility designs: support the University mission and priorities, enhance and support the overall image desired for the University, and emphasize wise use of resources. The Committee shall review project designs and make recommendations regarding acceptable compliance with stated goals and programs of the user/client, design guidelines, the image and character of Auburn University and the Auburn University comprehensive campus master plan. Review shall emphasize quality of open space and landscape; architectural form and exterior appearance; primary interior spaces; and the contribution of the project to immediate surroundings and the larger campus and community context. The Committee will offer recommendations regarding best practices and design guidelines, with specific emphasis on consideration of forward looking trends and advancements in the design and construction industry. Design review may involve projects of capital improvement, renovation, adaptation, infrastructure and occasionally maintenance. The Committee reserves the right to review or waive review of any project that impacts the appearance and development of the campus. (7 members)

Distinguished University Professors (Provost): The Distinguished University Professors Committee shall consist of the Provost or designee as chair, and six faculty members currently holding chaired professorships. The committee shall review University Professorship nominations annually and make recommendations to the President about appointments to the position. (7 members)

Faculty Dismissal Hearing (President): The committee shall hear requests to dismiss tenured faculty members and make recommendations to the President following the procedure outlined in Chapter 3 of the Faculty Handbook.

Election process: Each academic college and school and the Library will elect one faculty member to serve on the Faculty Dismissal Hearing Committee. The Dismissal Hearing Committee shall not have more than one member representing the same college or school or the Library. (13 members)

Restrictions: Faculty members must be tenured and should hold the rank of professor. The chair of the committee shall be elected by the committee.

Fraternities and Sororities (VP Student Affairs): The Fraternities and Sororities Committee shall consist of the VP Student Affairs; Director of Student Conduct for Student Affairs; the Program Advisors for Student Life (nonvoting) who advise sororities and fraternities; Coordinator of Greek Life (nonvoting); six faculty members; one faculty alternate; two graduate students; four undergraduate students to include: Interfraternity Council representative, Panhellenic Council representative, National Pan-Hellenic Council representative, one independent student, one independent student alternate, and one undergraduate student alternate nominated by the Student Government Association. The committee shall recommend and implement policies involving fraternities and sororities. (19 members)

Graduation (Provost): The Graduation Committee shall consist of the Graduation Marshall as chair, the Provost or designee, the University Registrar or designee, the Director of the Student Activities Center/Coliseum or designee, a representative of the President's Office, Dean of the Graduate School or designee, and one AUM faculty member serving as a continuing/nonvoting members; twelve faculty members; one graduate student nominated by the Graduate Student Council; one undergraduate student and one undergraduate student alternate nominated by the Student Government Association. The committee shall be responsible for overseeing the organization of each semester's graduation exercises, and membership shall rotate among the colleges and schools. (22 members)

Institutional Animal Care & Use (Vice President for Research): The Institutional Animal Care and Use Committee shall consist of no fewer than fifteen members. The following shall serve continuing appointments: the Director of Research Compliance (OVPR) Non-voting; the Associate Director for Biomedical Animal Resources or designee; and the Associate Director responsible for Agricultural Animal Resources. The following shall serve three-year rotating appointments: at least eight faculty members representative of animal-user disciplines (scientists, animal-users); at least one faculty member representing a non-scientific area; and at least two members from the community who have no other current affiliation with the University and whose immediate families are not affiliated with the University. Rotating membership vacancies shall be filled for compliance with the regulations and, to the extent possible, with similarly qualified individuals. In addition to the qualifications noted above, one committee member must be a veterinarian. The chair of the committee shall be a faculty member serving the second or third year of that person's term. The committee shall oversee the use of all animals by Auburn University, whether for research, instruction, demonstration, production, or maintenance purposes. The committee is mandated by government regulations and fulfills certain functions that allow Auburn University to be certified to receive government funds. This committee meets 12 months per year. (15 members)

Institutional Biosafety (Vice President for Research): The Institutional Biosafety Committee shall consist of continuing members, faculty, staff or Administrative and Professional Assembly personnel, and community members. Continuing members shall consist of the Director of Research Compliance (non-voting), the Associate Director of Risk Management and Safety (who will act as secretary to the committee); and the Biological Safety Officer or designee and Assistant Biological Safety Officer as an Alternate. Faculty shall consist of five members on rotating three-year terms staggered such that two rotate on/off each year. Faculty shall be selected on the basis of experience and expertise in infectious disease research, experience and expertise in recombinant DNA (rDNA) technology, and the capability to assess the safety of biological research and to identify any potential risk to public health or the environment. At all times one faculty member will be an animal pathogen containment expert. The University Veterinarian will be a continuing/ex officio. The chair shall be selected by the President from those faculty members entering their second or third year of committee service. Staff or Administrative and Professional Assembly personnel shall consist of one member representing either the staff career ladders such as laboratory technician or the administrative/professional career ladders such as research associate/research assistant, medical technologist, etc. This will be a rotating three-year membership. Community members shall not otherwise be affiliated with Auburn University and shall consist of two outside members who represent the interest of the

surrounding community with respect to health and protection of the environment (e.g. officials of state or local public health or environmental protection agencies, members of other local governmental bodies, or persons active in medical, occupational health, or environmental concerns in the community). These will be rotating, staggered, three-year memberships. The Institutional Biosafety Committee (IBC) is charged to formulate policy and procedures related to the use of biohazardous agents, including human, animal, and plant pathogens, other infectious agents, toxins, and rDNA. As mandated by the National Institutes of Health, experiments involving human gene therapy, formation of transgenic animals or plants, and the generation and/or use of rDNA must be reviewed and approved by the IBC. Auburn University also requires IBC review and approval for use of Risk Group 2 or higher biohazardous agents. This committee meets 12 months per year. (14 members)

Institutional Review Board for Protection of Human Subjects in Research (Vice President for Research): The Institutional Review Board for Protection of Human Subjects in Research shall consist of no fewer than 11 members who meet the following criteria: Eight faculty members, at least one faculty member whose primary concern is in a scientific area; at least one faculty member whose concern is in a non-scientific area; at least two members from the community (and one community alternate) who has no other current affiliation with the University and whose immediate family has no affiliation with the University; the General Counsel for the University and a physician shall serve as continuing, voting appointments on this committee; the Director of Research Compliance. Research shall serve as continuing, non-voting on this committee; faculty from disciplines typically involved in human subject research comprise the remaining members. A physician and any community members are recommended by the Associate Provost and Vice President for Research after consultation with the Institutional Review Board; final approval is by the President. At least one member qualifying as a correctional-system professional (administrative position, not specifically a faculty member) who will be nominated by VP for Research and appointed by the President and would serve a 3 year term with the option of renewal. The community members serve three-year terms, which can be renewed. All other appointments are three-year, rotating assignments, and members completing appointments are replaced by individuals of similar backgrounds and experience. Faculty members may succeed themselves if requested by the faculty member and approved by the Office of the Vice President for Research. The chair of the committee shall be a faculty member serving in at least the second year of that person's term. The IRB functions to protect the rights and welfare of human research participants. As such, the IRB shall review all research activities involving human subjects for compliance with federal guidelines and ethical research principles. The IRB has the authority to approve, require modifications in (to secure approval), and disapprove research proposals and to suspend or terminate research that is not conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to subjects. (15 members)

Insurance and Benefits (Executive Vice President): The Insurance and Benefits Committee shall consist of the Director of Payroll and Benefits, the Assistant Vice President of Human Resources, the Executive Director of Risk Management and Safety, the Chair of Staff Council, the Immediate Past Chair of the Staff Council, the Chair of Administrative and Professional Assembly Welfare Committee, and one administrator from AUM; four faculty members from the main campus and one from AUM. It shall also include three Administrative and Professional

Assembly members who shall serve three-year staggered terms, and one AUM Staff Council member who shall serve a three-year term. The committee shall communicate information about insurance and other employee benefit programs to faculty and administration and consider and recommend improvements in insurance coverage. (16 members)

Intercollegiate Athletics (President): The Committee on Intercollegiate Athletics shall consist of fourteen (14) voting members and four (4) non-voting members, all serving at the pleasure of the President in an advisory capacity. Voting members shall include the following members: the Faculty Athletics Representative, the Executive Vice President, the VP Student Affairs, the Dean of Enrollment Services, the President of the Student Government Association or designee, the Chair of the Staff Council, the Chair of the Administrative and Professional Assembly, the Executive Director of Internal Auditing; and six faculty members serving three-year staggered terms. Ex-officio non-voting members of the committee shall consist of the President or designee, the Provost and Vice President for Academic Affairs or designee, the Athletics Director or designee, and the Associate Athletics Director for Compliance. The Chair and Vice-Chair of the Committee shall be selected annually by the President (excluding students and Athletics Department employees). The number of terms in which a person may serve as Chair or Vice-Chair shall not be limited. Members of the Committee should have an interest in intercollegiate athletics, and preference shall be given to individuals who have either a fundamental knowledge of intercollegiate athletics or experience serving on other committees or task forces which have a nexus to intercollegiate athletics. In keeping with NCAA Bylaws, at all times, individuals from the administration and/or University Faculty (as defined in the University Faculty Constitution) must constitute a majority of the Committee. The committee shall 1) recommend to the President the policies for the operation of the intercollegiate athletics program at Auburn, 2) monitor for the President all aspects of the program for compliance with University policies and with NCAA and SEC legislation, and 3) assist the President and the Director of Athletics on any aspect of the intercollegiate athletics program for which advice or assistance is requested. The Committee shall meet once a quarter and additionally as called by the President of the University. (18 members)

International Students (Assistant Provost for International Programs): The International Student Committee shall consist of the Assistant Provost for International Programs; the Dean of the Graduate School; the Director of Admissions and Records; the Assistant Director of Admissions and Records or designee; a representative from Student Affairs; the International Student Organization Advisor; Dean of Enrollment Management or designee; the VP Student Affairs; four faculty members; two graduate students, two undergraduate students, at least two of whom shall be international students, and one undergraduate student alternate. The committee shall consider issues and concerns that directly relate to international students on the Auburn University campus. (17 members)

Master Plan (President): The Master Plan Committee shall consist of the University Planner as Chair, the University Architect as Vice-Chair, Senior Associate Provost, University Engineer, one Administrative and Professional Assembly member, four faculty serving three-year staggered terms (three of the four must be a registered architect/ engineer/ planner/ builder). On-Call Resource Team: the faculty and staff of the entire University including but not limited to the Facilities Division, Office of Information Technology, Risk management and Safety,

Institutional Research and Assessment and the Office of Development shall be on call to assist with the charge of the committee as specific conditions dictate. Meetings will be once per semester, more or less, as agenda dictates. The Master Plan Committee formulates/adopts institutional plans and guidelines and keeps them current. The Committee reviews development of all land holdings of Auburn University and makes recommendations regarding facilities, planning, transportation planning, land planning, infrastructure and site development activities. The Committee oversees the continuing administration, maintenance, implementation, change and update of all Auburn University master plans and supporting documents, including design guidelines, The Image and Character of Auburn University and the Auburn University Comprehensive Campus Master Plan. (9 members)

Multicultural Diversity Commission (President): The Commission on Multicultural Diversity shall consist of the Assistant Vice President for Human Resources/Affirmative Action Officer or designee; the Assistant Provost of Multicultural Affairs; the Assistant Vice President for Student Life; a representative each from the Office of the Provost, and International Admissions; seven faculty, serving three-year terms; one Administrative and Professional Assembly member, serving a two-year term; two staff members, serving a two-year term; one graduate student, serving a one-year term; one undergraduate student and one undergraduate student alternate, serving a one-year term. The chair (tenure-line faculty member of the commission) will be appointed by the President to direct the work of the commission. The commission will provide a permanent and very visible forum for deliberating and developing policies and initiatives on matters of diversity, tolerance, and inclusiveness. (18 members)

Patent & Invention Disclosure (Vice President for Research): The Patent and Invention Disclosure Committee shall consist of the Director of Technology Transfer and nine faculty members representing key areas of University research such as Engineering, Pharmacy, Sciences and Mathematics, Agriculture, and Veterinary Medicine, as well as representation from faculty with expertise in areas such as marketing and economics. Members shall be appointed to three-year rotating terms. The chair shall be elected by the committee from one of the nine faculty members. The committee is charged with providing advice and recommendations as needed by the Office of Technology Transfer and the Vice President for Research on issues such as the technical merit and commercial potential of technology disclosures. (10 members)

Persons with Disabilities (President): The Committee for Persons with Disabilities shall consist of the Vice President of Student Affairs or designee, the Assistant Vice President for HR/AA Officer or designee, Associate Provost for Diversity and Multicultural Affairs or designee, the Assistant Provost for International Programs, the Director of the Program of Students with Disabilities, the Director of Distance Learning and Outreach Technology, the University Architect, the Senior Associate Athletics Director or designee, and the Executive Director, Educational Support Services; four faculty members; one Administrative and Professional Assembly member; one staff member; one graduate student; one undergraduate student, and one undergraduate student alternate. (The Graduate Student Council and the Student Government Association should seek recommendations for students from the Office of Students with Disabilities). The committee shall promote a positive University policy in regard to program accessibility for people with disabilities, educate the campus community as to the needs of disabled individuals, and promote the removal of architectural barriers on campus. (18 members)

Post-Tenure Review (President): This is a special committee appointed by the President from nominees provided by the Rules Committee of the University Senate. The committee shall review dossiers of faculty participating in the University's Post-Tenure Review procedure and advise the President. Eight faculty currently holding tenure and the rank of Professor; Provost, as chair (faculty members cannot serve in any regular administrative position, including department head/chair, at the time of their service on this committee). (9 members)

Promotion & Tenure (President): The Promotion and Tenure Committee shall consist of the Provost as chair and thirteen faculty members, at least one from each college/school and one from the library. In cases in which the President is unable to complete the staffing of the committee from the list of nominees provided by the Rules Committee, the President may require the Rules Committee to nominate additional faculty members. Faculty members cannot serve in any regular administrative position including that of department head/chair at the time of their service on the committee. Tenure-track faculty members must be tenured and should hold the rank of professor. The committee shall review departmental and school or college recommendations on candidates for promotion and tenure and make recommendations to the President. The Associate Provost and Vice President for Research and the Assistant Vice President for University Outreach shall serve as non-voting members. (16 members)

Radiological Safety (Executive Vice President): The Radiological Safety Committee shall consist of the Radiological Safety Officer, the Associate Director of Risk Management and Safety, the Assistant Vice President for Facilities or designee, the Physics Department Head or designee, the Director of the MRI Research Facility or designee, and a representative of the largest radiation sources on campus; six faculty members with at least three of the faculty having knowledge of the safe use of ionizing radiation, including at least one faculty member with knowledge of laser safety and operation, and one with knowledge of the use of radiation in experimental biological systems. The chair of the committee shall be a faculty member serving in the second or third year of that person's three-year term; the Radiological Safety Officer serves as committee secretary. The committee is delegated authority for radiological safety and magnetic safety concerns at the University. Committee responsibilities include establishment of policies and procedures, compliance with appropriate state and federal regulations, review of all applications and licenses for the use of ionizing and non-ionizing radiation at Auburn University, and assurance that each person working with radioactive materials and radiation-producing devices is qualified by training and experience to safely perform such work. (12 members)

Residency Appeals (Associate Provost for Undergraduate Studies): The Residency Appeals Committee shall consist of the Director for Admissions and Records or designee; the Director of Institutional Research and Assessment; four faculty members, with one serving as chair as elected by the members of the committee. The committee reviews requests from students to be grandfathered under the previous residency policy. In addition, the committee serves as a review board for any student who wishes to appeal the residency requirements. (6 members)

Student Academic Grievance (Provost): The Student Academic Grievance Committee shall consist of one administrator from a relevant field and one alternate; three faculty members and one alternate; two undergraduate students and one alternate; one graduate student and one graduate student alternate. The committee shall resolve academic grievances of students that

result from actions of faculty or administrators. The Student Policy eHandbook, Auburn University's student handbook, provides the guidelines for this procedure. Faculty members shall serve three (3) year terms, and their appointments shall be arranged so that one (1) faculty member is replaced each year. Their terms of service shall start in fall semester of the year of their appointment. The chairman of the Committee shall be appointed from among these faculty members nominated by the Senate Rules Committee in consultation with the President of the University. No person shall serve as chairman for more than three (3) years. (11 members)

Student Center Committee (VP Student Affairs): The Student Center Committee shall consist of the VP Student Affairs as chair; a representative from Student Affairs; the President of the University Club; the Executive Vice President or designee; the Student Media Advisor; a representative of the Office of Diversity and Multicultural Affairs; the Director of Food Services or designee; one faculty member; eleven students: Student Government Association Administrative Vice President as secretary, the Student Government Association President or designee, a representative of the Interfraternity Council, President of the Black Student Union, a representative of the Panhellenic Council, a representative of the National Pan-Hellenic Council, a representative of the University Program Council, a representative from Student Media, the President of the Graduate Student Council or designee, and two other students nominated by the Student Government Association President and approved by the Student Government Association Senate, and one student alternate nominated by the Student Government Association. The committee shall make recommendations to the President of Auburn University for all programs, services, space allocations, and long-range planning related to the Student Center. (20 members)

Student Communications Board (VP Student Affairs): The Student Communications Board shall consist of the VP Student Affairs or designee as chair; the Executive Vice President or designee; a representative from Communications and Marketing; one English faculty member from the Professional and Technical Writing program; one faculty member from the College of business; the Student Government Association President; the Department Chair of Communication and Journalism; one graduate student; seven undergraduate students representing the Black Student Union, International Student Union, Interfraternity Council, National Panhellenic Council, Panhellenic Council, Student Government Association and Omicron Delta Kappa; and four professional representatives, one each from print media, broadcast media, magazine, technical publications or scholarly journals, and one specializing in the business management various forms of media. The board shall provide overall supervision for the financial and editorial management of student publications and broadcasts funded by Student Activities Fees. (19 members)

Student Discipline (VP Student Affairs): The Student Discipline Committee shall consist of eleven faculty members, two of whom will be co-chairs; the Director of Student Conduct for Student Affairs (non-voting); one Administrative and Professional Assembly member; 10 undergraduate students; and two graduate students. The committee shall conduct hearings into alleged violations of the University Code of Student Discipline and make recommendations to the Vice President for Student Affairs regarding the handling of violations. The University Code of Student Discipline can be found in the Student Policy eHandbook, Auburn University's student handbook. (25 members)

Student Insurance (Executive Vice President): The Student Insurance Committee shall consist of the Vice President for Student Affairs or designee, who shall serve as chair; Executive Vice President or designee; Director of the Office of Risk Management and Safety or designee; AUM VP Student Affairs or designee; Student Government Association President or designee; Student Government Association Treasurer or designee; Graduate Student Council President or designee; AUM Student Government Association President or designee; the Director of the Auburn University Medical Clinic or designee and the Director of the Auburn University Pharmacy Center or designee shall serve as non-voting members; one faculty member; one graduate student appointed by the Graduate Student Council President; and three undergraduate students appointed by the SGA President. The committee shall supervise the management practices of the Student Accident and Sickness Insurance Plan, in an effort to serve the best interests of the student body, and make recommendations to the administration concerning the Plan. (15 members)

Traffic & Parking (Executive Vice President): The Traffic and Parking Committee shall consist of the University Engineer as chair, the University Architect as Vice-Chair, the University Planner, the Director of Parking and Transit, the Director of Public Safety and Security or designee, Athletic Director or designee, the Manager of Parking Services; Americans with Disabilities Act Coordinator or designee; three faculty members; two Administrative and Professional Assembly members; two staff members serving two-year staggered terms; one graduate student; four undergraduate students, one of whom must be a resident of University Student Housing, and one undergraduate student alternate. The committee shall accept suggestions, comments, and complaints relative to the parking of vehicles and the movement of vehicular/ pedestrian traffic on campus. Its primary concerns shall be the safety and well-being of students, faculty, staff, vendors, and visitors and the orderly and efficient parking/movement of vehicles and persons. The committee shall be expected to make recommendations regarding parking lot zoning, and zone enforcement procedures; costs and procedures for vehicle registration; procedures and regulations for parking and traffic movement during athletic events, pavement markings, signage, signalization, site lighting, handicapped parking/access, pedestrian malls, shuttle-bus systems, and bicycles/skateboards, etc. It is recommended that an appointee to this committee not serve on any traffic appeals board. (21 members)

Traffic Appeals Board (Executive Vice President): The Traffic Appeals Board consists of three boards: Tuesday Traffic Appeals Board, Wednesday Traffic Appeals Board, and Thursday Traffic Appeals Board. The membership composition is the same for each board. Each shall consist of three faculty members; one Administrative and Professional Assembly member; one member of the Staff Council; one graduate student; one graduate student alternate; two undergraduate students; two undergraduate student alternates. The faculty should have three-year staggered terms; students serve one-year terms. The boards shall arbitrate disputes arising from the Auburn Public Safety and Parking Services issuance of parking and traffic citations. The boards shall not arbitrate citations involving moving offenses (e.g., speeding, failure to display signals) which shall instead be referred to the City of Auburn court system. The boards shall fairly and consistently interpret and apply the Auburn University Traffic and Parking Regulations developed by the Traffic and Parking Committee. The boards shall not make regulations nor render engineering/policy decisions. The boards are judicial in character but are encouraged to provide input related to new regulations, or proposed changes of existing

regulations, to the Traffic and Parking Committee as they feel appropriate. It is recommended that an appointee to this committee not serve on the Traffic and Parking Committee. (11 members per Board)

University Budget Advisory (President): The University Budget Advisory Committee shall develop recommendations for the President of Auburn University regarding the preparation of the annual budget for the University. The following shall serve continuing appointments: Executive Vice President as chair; the Provost; the Chair and Chair-elect of the Administrative and Professional Assembly; the Chair and Chair-elect of the Staff Council; the Chair of the University Senate and the Chair of the Faculty Salaries Committee; the President of the Student Government Association and the President of the Graduate Student Council shall serve one-year terms. Each school or college and the libraries shall be represented alternately by a faculty member and an administrator; the administrator position shall alternate between a dean and a department head/chair. There shall be at least nine faculty members, one vice president, five deans, and four or five department heads/chairs every year. The faculty, vice president, deans, and department heads/chairs will serve two-year terms. (28 members)

University Safety (Executive Vice President): The University Safety Committee shall consist of no fewer than 15 members. The following shall serve continuing appointments: the Associate Director of Risk Management and Safety as chair; Executive Director of Public Safety & Security; Associate Director Public Safety, Info. & Ed. or designee; Master Plan Implementation Engineer (Facilities Campus Planning & Space Management); the Director of Intercollegiate Athletics or designee; the Associate Director of the Alabama Agricultural Experiment Stations or designee; Facilities Safety Manager; the Assistant Vice President for Human Resources or designee; the President of the Graduate Student Council or designee and the President of the Student Government Association or designee shall serve on an annual basis; Director, Public Safety, AUM; the Director of the Alabama Cooperative Extension System or designee; one representative from the Administrative and Professional Assembly; and the Executive Director of Information Technology or designee. Four faculty members shall serve three-year rotating terms; three from the main campus and one from AUM. The committee shall assist in establishing and maintaining a comprehensive safety program that shall help Auburn University achieve the goal of providing a safe and healthful environment for the faculty, staff, students and visitors on the main campus, at AUM, and throughout the broad networks of the Alabama Agricultural Experiment Stations and the Alabama Cooperative Extension System. (18 members)

University Scholarship (Dean of Enrollment Services): The University Scholarship Committee shall make scholarship recommendations to the President. The Director of Student Financial Services and the Director of the Scholars Program shall serve continuing appointments. The committee shall also consist of six faculty members; three undergraduate students and two graduate students. (13 members)

2.2 Faculty Participation in Senate and University Committees

Standing University committees are appointed by and are advisory to the President. These committees may be under the purview of a member of the University's central administration

who shall be responsible for convening these committees at regular intervals and whenever the need for committee action arises. Each standing committee shall have a written statement of its operating procedures. A list of all members of all standing Senate and University committees shall be distributed each fall by the Office of the President.

In the spring of each year, faculty members are given an opportunity to express interest in serving on Senate and University standing committees and to nominate others for those committees. Using this information, the Senate Rules Committee submits nominations for membership on Senate committees to the Senate for approval and makes recommendations to the President for membership on University committees. When a University committee requires its members to have particular expertise, the Rules Committee may consult with administrative officers prior to submitting its list of nominations. In cases in which the President is unable to complete the staffing of a University committee from the list of nominees provided by the Rules Committee, the President may require the Rules Committee to make additional nominations, and may propose other individuals who would be more appropriate for the particular Committee's needs.

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

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

Section 3

Faculty Participation in the Selection and Evaluation of Administrators

3.1 Policy on Selection of Executive Officers of the University

The Board of Trustees has established the following policies concerning the selection of administrators (Board Policies Manual, B-1-2):

The Board of Trustees, in accordance with State of Alabama statutes, has the power and responsibility to . . . organize the institute by appointing a corps of instructors, who shall be styled the faculty of the university and such other instructors and officers as the interest of the

university may require. . .' To assist in that process, the Board may delegate aspects of that responsibility to the President of the University.

Described in the paragraphs below are procedures to be followed in the selection and appointment of key administrators of the university. The Board has primary responsibility for appointment of the President, and relies upon the President's recommendations in the appointment of the Provost, AUM Chancellor, Vice Presidents and Director of Intercollegiate Athletics.

President: As identified in the Bylaws of the Board of Trustees, the President of the University is elected by and serves at the pleasure of the Board of Trustees. The President is the Chief Executive Officer of the University, and terms of employment and areas of responsibility are outlined in the Bylaws. When the position of University President becomes vacant, the Board of Trustees shall constitute the search and selection committee, whose responsibility it shall be to identify candidates for the presidency. At its discretion, the Board may rely upon the assistance of one or more advisory committees composed of Trustees, Auburn and AUM faculty and students, Alumni Association members, and others. Such advisory groups, if utilized, shall be appointed by the President Pro Tempore of the Board of Trustees, who shall serve as the chair of each. Appointment to the office of President is by the Board of Trustees, who fix the term and conditions of employment.

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

Vice Presidents and Director of Intercollegiate Athletics: Appointment to Vice Presidential positions and the Director of Intercollegiate Athletics shall be by the President, upon prior consultation with the Board of Trustees. Search committees assembled to identify candidates for these positions shall include at least one member of the Board of Trustees, on a rotating basis. When the President has received the committee's reports, the Board will be informed of the person the President plans to appoint. Such notice shall include a copy of the individual's vita and other relevant information. (The procedure for consulting with the Board will be determined jointly by the President, Board President Pro Tempore, and the Trustees who serve on the search committee.)

3.2 Selection of Deans and Department Heads/Chairs

Deans: Deans are appointed by the President upon recommendation of the Provost and with the advice of search committees whose composition should reflect the primacy of faculty interest in the position. The faculty members on such search committees shall be selected so as to ensure broad representation of the programs in the school or college involved, as well as other interests within the University, and shall be selected in consultation with departmental faculty.

Department Heads/Chairs: Auburn University adheres to the "Joint Statement on Government of Colleges and Universities" adopted by the American Council on Education, the Association of Governing Boards of Universities and Colleges, and the American Association of University Professors regarding the selection of department heads/chairs: "The chair or head of a department, who serves as the chief representative of the department within an institution, should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with the department members' judgment." The chair or head should not have tenure in office; tenure as a faculty member is a matter of separate right. The chair or head should serve for a stated term but without prejudice to reelection or to appointment by procedures that involve appropriate faculty consultation. Board administration, and faculty should all bear in mind that the department chair or head has a special obligation to build a department strong in scholarship and teaching capacity." Appointment of department heads/chairs are made by the Dean.

3.3 Evaluation of Administrators

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

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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/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 1

Academic Freedom and Responsibility

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 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*.

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 2

Affirmative Action and Equal Employment Opportunity

2.1 Policies Pertaining to the Workplace

As an equal opportunity and affirmative action employer, the University does not discriminate against or permit harassment of employees on the basis of race, color, sex, religion, national origin, age, disability, veteran status, sexual orientation, or genetic information. [The Office of Affirmative Action/Equal Employment Opportunity](#) has overall responsibility for the management of the University's equal opportunity and nondiscrimination policies. The

University also has the policy of providing a drug-free workplace environment. It is important that all University employees familiarize themselves with Auburn's complete official policies on these issues, which can be found at:

The Americans with Disabilities Act (ADA) Accommodations Policy

<https://sites.auburn.edu/admin/universitypolicies/Policies/ADAAccommodationsPolicy.pdf>

Affirmative Action Policy on the Employment of Individuals with Disabilities

<https://sites.auburn.edu/admin/universitypolicies/Policies/AffirmativeActionPolicyontheEmploymentofIndividualswithDisabilities.pdf>

Affirmative Action Policy on Employment of Veterans

<https://sites.auburn.edu/admin/universitypolicies/Policies/AffirmativeActionPolicyontheEmploymentofVeterans.pdf>

Equal Employment Opportunity Policy

<https://sites.auburn.edu/admin/universitypolicies/Policies/EqualEmploymentOpportunityPolicy.pdf>

Policy Regarding Prohibited Harassment of Employees

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyRegardingProhibitedHarassmentofEmployees.pdf>

Policy Regarding Prohibited Harassment of Students

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyRegardingtheProhibitedHarassmentofStudents.pdf>

Drug-Free Campus and Workplace Policy

<https://sites.auburn.edu/admin/universitypolicies/Policies/ADrugFreeCampusandWorkPlacePolicy.pdf>

2.2 Intimate Relations Policy

Auburn University prohibits all faculty, administrators and supervisors, including graduate teaching assistants, from pursuing or engaging in romantic or sexual relationships with students, both graduate and undergraduate, whom they are currently supervising or teaching. Violations should be promptly reported to the University's Affirmative Action Office. Violations of this policy will be addressed through appropriate disciplinary action.

Section 3

Faculty Appointments

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 head/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.

3.2 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.

Academic administrators above the level of department head/chair hold temporary or continuing appointments and may also hold faculty rank. 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.

3.3 Initial Appointment

Initial appointments are made as the result of departmental or unit searches. Departments and units have some leeway in establishing the search procedures most appropriate for their particular circumstances. The department or unit might act as a committee of the whole or smaller screening committees might be used; a recommendation by a search committee might be transmitted to the department or unit as a whole for further consideration and transmittal to the department head/chair or unit head or it might be transmitted directly to the department head/chair or unit head. Whatever the procedure, it should be established in advance of need by the department or unit as a whole. The department head/chair or unit head, in consultation with his or her faculty, should decide upon the positions needed and the qualifications a successful candidate must have. Together they should develop a position description to be supplied to the candidates. The appointment of an internal candidate to fill a vacancy is a temporary solution and shall neither foreclose or delay a national search to fill the originally vacated position. The internal candidate may subsequently compete in the national search.

The department head/chair or unit head and the search committee shall be guided by the Affirmative Action Office in framing an advertisement for the position, in seeking permission to advertise, and in recommending an appointment. Guidelines from the Affirmative Action Office help ensure compliance with federal law and help ensure an open and fair search.

When making recommendations for appointments at all faculty ranks except those designated as temporary, the department head/chair or unit head shall confer with all available members of the department holding professorial ranks or, if the unit does not include professorial faculty, with those faculty holding continuing appointments. He or she shall then transmit a written summary of the reactions of these faculty members along with appointment forms through the appropriate dean and/or director to the Provost. Where the faculty members do not concur in an initial appointment, the head/chair may submit a recommendation for appointment with his or her justification and a report of non-concurrence of the faculty. An appointment made without the support of the faculty may jeopardize the new hire since the faculty will ultimately vote on promotion and tenure.

The doctorate is the terminal degree for most disciplines represented at Auburn University. Requests for exceptions must be presented with appropriate justification by the department

head/chair, with faculty concurrence, and the dean to the Provost. The appointment cannot be made without the approval in writing of the Provost.

Each initial appointment must be confirmed by the appropriate department head/chair/unit head or dean in a written notice to the appointee after proper administrative approvals have been obtained. This notice should include determination of prior service at another institution to be credited toward the probationary period. This letter constitutes the faculty member's written terms of the initial employment.

Prior Service

If a faculty member has had fewer than three years of full-time service in a faculty rank at one or more other institutions, he or she may request that two years, one year, or none be credited toward the probationary period for tenure. If a faculty member has had three or more years of full-time service in a faculty rank at one or more other institutions, he or she may request that three years be credited toward the probationary period for tenure. Such requests shall be made in writing at the time of initial appointment and shall be binding. They should be directed to the department head/chair who will then make a recommendation to the dean and the Provost for written approval.

All years of full-time temporary faculty appointment at Auburn regardless of rank shall normally count toward tenure eligibility. However, in specific cases in which an appointment to a new position entails significantly different responsibilities or a significantly different institutional setting, the interests of all parties may best be served through written agreement approved by the Provost at the time of the new appointment to provide for a fuller current period of probation, so long as the probationary period does not exceed seven years from the time of the new appointment.

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.

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 head/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/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.

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 commitment is set forth in writing either by letter or by execution of a Personnel Action Form.

3.6 Policy on Administrator Return to Faculty Position

Terms and conditions which will govern the transition back to a faculty position upon completion of the administrative assignment

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonAdministratorReturntoFacultyPosition.pdf>

Section 4

Endowed and Distinguished Professorships

4.1 Guidelines for the Appointment of Endowed Chairs and Professorships

Standards and procedures for appointing faculty to endowed positions; internal nominations and external searches; expectations for faculty in endowed position, including performance criteria and performance review procedures

http://www.auburn.edu/academic/provost/policies/Guidelines_Appointment%20of%20Chairs%20and%20Professorships.html

4.2 Distinguished University Professor

The title Distinguished University Professor recognizes the University's most outstanding faculty who have adhered to standards of continuous high performance. The number of these professorships will not exceed 1% of the eligible faculty at any one time and will not duplicate or compete with any other form of faculty recognition approved by the Board of Trustees. Appointments are for five years with the possibility for re-appointment for successive five year terms subject to review by the President, based upon normal standards of high performance. When appropriate, a call for nominations with process guidelines will be issued by the President, in conjunction with the Provost.

Section 5

Non-tenure Track Faculty

5.1 Guidelines for Establishing and Filling Positions in the Lecturer Title Series

Executive Summary

Appointment and Promotion in the Lecturer Title Series

A. Definition

B. Establishment of a Position

Initial Appointment

C. Areas of Activity

D. Academic Ranks, Titles, and Criteria

E. Performance Evaluation

F. Promotion Criteria and Considerations for Lecturer Faculty

G. Eligibility for Promotion

H. Procedure for Promotion

I. Terms and Continuation of Appointment

J. Dismissal

K. Noncontinuation of Appointment

L. Graduate Faculty

M. Conditions of Employment

N. University Membership

O. Change from Non Tenure Track to Tenure Track Faculty

P. AAUP Guidelines

Executive Summary

The lecturer title series is a non tenure track professional series for appointment of appropriately qualified individuals who contribute to the university's academic mission by participation in activities which (1) predominantly involve instruction, and (2) are of contractually specified duration.

Criteria for appointment, performance review and promotion in the Lecturer title series are included herein. All Lecturer title series positions are one academic year (9 month) contracts that may be renewed annually, but not to exceed the period of funding. All appointees in the Lecturer title series will have annual, written employment contracts.

Appointees in the Lecturer title series are considered to be educators and are under the supervision of the department head/chair or unit head. They are eligible for all the benefits except tenure, de facto tenure, and professional improvement leave. The department or unit must assure that space and facilities are available for conducting instructional work as appropriate.

To establish a position in the Lecturer title series, the initiating unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source (including any commitment of Auburn University), amount, and term of funding, (2) prepare a job description and identify any space that is needed for the performance of the appropriate assignment; and (3) obtain approvals

of the proposal by the chief administrative officer of the concerned unit, the dean of the college/school, and the Provost. The proposal shall be transmitted to Dean of the college/school by the department head/chair or unit head with his/her indication of faculty approval for establishment of the position. The hiring of Lecturers will follow normal university hiring procedures. Joint appointments require the approval of all Deans involved.

Promotions in the Lecturer title series will be specified for each department and criteria must be approved by the Provost's Office. Promotion decisions will be determined by the specific document, department head/chair, and the dean of the respective college or school. As the Chief Academic Officer of Auburn University, the Provost retains the right to review all promotions and act appropriately. Promotion decisions must correspond to the annual deadlines approved by the Provost's Office and be reported to the Provost's Office accordingly.

Anything not delineated in this document should be decided at the College level in consultation with the Provost.

Appointment and Promotion in the Lecturer Title Series

A. Definition

The Lecturer title series is a professional series for appointment and promotion of appropriately qualified individuals who participate in the University's mission by participation in projects which (1) predominantly involve instruction, and (2) are of contractually specified duration. A faculty member on appointment in the lecturer title series is primarily expected to provide Lecturer services and to a lesser extent other scholarly endeavors. Recruitment into Lecturer/Senior Lecturer positions must follow University Affirmative Action/ Equal Employment Opportunity (AA/EEO) policies and be approved by the Office of the Provost and the AA/EEO Office. Appointments are for one (1) year duration with possibility for annual renewal. Lecturers/Senior Lecturers will be issued annual letters of appointment. A Lecturer/Senior Lecturer is eligible for benefits equivalent to other full time employees at Auburn University.

B. Establishment of a Position

To establish a position in the lecturer title series, the initiating unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source, amount, and term of funding, (2) prepare a job description and identify any space that is needed for the performance of Lecturer practice; and (3) obtain approvals of the proposal by the chief administrative officer of the concerned unit, the dean of the college/school, and the Provost. The proposal shall be transmitted to Dean of the college/school by the department head/chair or unit head with his/her indication of faculty approval for establishment of the position. The hiring of Lecturer faculty will follow normal university hiring procedures. Joint appointments require the approval of all Deans involved.

Initial Appointment

Initial appointments are made as the result of normal recruitment procedures. Departments and units have some leeway in establishing the search procedures most appropriate for their particular circumstances. The department or unit might act as a committee of the whole or smaller screening committees might be used; a recommendation by a search committee might be transmitted to the department or unit as a whole for further consideration and transmittal to the department head/chair or unit head or it might be transmitted directly to the department head/chair or unit head. Whatever the procedure, it should be established in advance of need by the department or unit as a whole. The department head/chair or unit head, in consultation with his or her faculty, should decide upon the positions needed and the qualifications a successful candidate must have. Together they should develop a position description to be supplied to the candidates.

The department head/chair or unit head and the search committee shall be guided by the Provost Office and Affirmative Action Office in framing an advertisement for the position, in seeking permission to advertise, and in recommending an appointment. Guidelines from the Affirmative Action Office help ensure compliance with federal law and help ensure an open and fair search.

When making recommendations for appointments in the Lecturer title series, the department head/chair or unit head shall confer with all available members of the department holding professorial ranks or, if the unit does not include professorial faculty, with those faculty holding continuing appointments. He or she shall then transmit a written summary of the reactions of these faculty members along with appointment forms through the appropriate dean and/or director, to the Provost. Where the faculty members do not concur in an initial appointment, the head/chair may submit a recommendation for appointment with his or her justification and a report of non-concurrence of the faculty. An appointment made without the support of the faculty may jeopardize the new hire since the faculty will ultimately vote on promotion.

The doctorate is the terminal degree for most disciplines represented at Auburn University. Requests for exceptions must be presented with appropriate justification by the department head/chair, with faculty concurrence, and the dean to the Provost. The appointment cannot be made without the approval in writing of the Provost's Office.

Each initial appointment must be confirmed by the appropriate department head/chair/unit head or dean in a written notice to the appointee after proper administrative approvals have been obtained. This notice should include determination of prior service at another institution to be credited toward possible promotion. This letter constitutes the faculty member's written terms of the initial employment.

C. Areas of Activity

Three areas of activity are important in the evaluation of individuals for appointment, performance review, and promotion in the lecturer title series: (1) documented evidence of effective Lecturer practice; (2) documented evidence in other appropriate academic endeavors as assigned, (3) collegiality, as defined for tenure track faculty in the Faculty Handbook. Guidelines relative to these areas of activity are described in the Faculty Handbook Chapter 3.

Lecturer faculty are expected to teach in the Lecturer setting. The contract between the Lecturer faculty and the university must specify the amount of teaching expected.

D. Academic Ranks, Titles, and Criteria

The academic ranks and related titles in the lecturer title series shall be: (1) Lecturer, (2) Senior Lecturer. Although it is not feasible to specify exact criteria for evaluating the credentials of an individual for appointment or promotion to any one particular rank in the lecturer title series, the following statements are provided as guidelines.

1) Lecturer: This non-tenure-track faculty appointment is designated for those with an emphasis on the teaching mission at Auburn University who are qualified to teach in their discipline. The appointments are not tenurable and are made on an annual basis with no right or expectation of employment beyond the period specified in the letter of appointment. These appointments may be renewable on an annual basis contingent upon availability of funds, the need for services, and satisfactory performance.

2) Senior Lecturer: This non-tenure-track faculty appointment is designated for those who have sustained outstanding performance in teaching and service at the Lecturer level. There is no fixed requirement for years of service at the Lecturer rank before a Lecturer can be promoted. However, the qualifications for promotion to Senior Lecturer rank generally cannot be demonstrated fully in less than five complete years of service. A Lecturer may apply for promotion to Senior Lecturer following criteria and procedures for promotion maintained in the College of appointment. These appointments may be renewable on an annual basis contingent upon availability of funds, the need for services, and satisfactory performance and are not tenurable.

Criteria for promotion to Senior Lecturer are specific to each department and approved by the Dean and Provost's Office. Promotion decisions will be determined by the specific department head/chair and the dean of the respective college or school. As the Chief Academic Officer of Auburn University, the Provost retains the right to review all promotions and act appropriately. Promotion decisions must correspond to the annual deadlines approved by the Provost's Office and reported to the Provost's Office accordingly.

E. Performance Evaluation

Each department will have an annual, validated, and effective evaluation system that includes student, peer, and administrator input. The evaluation system should have performance improvement as its primary goal. Evaluation metrics should be parallel to department faculty with similar duties and should be determined by the individual department or college.

All department heads/chairs and unit heads, such as center and institute directors, shall conduct at least one yearly review before May 31 with each Lecturer faculty member to evaluate his/her performance and to discuss his/her future development. For the review, the Lecturer faculty member will provide a current vita and any supporting material the head/chair or unit head or the Lecturer faculty member deems appropriate.

In the case of Lecturer faculty members who have not achieved promotion to Senior Lecturer particular care shall be taken by the department head/chair or unit head to relate the faculty member's job performance to the promotion criteria set forth in this document. Significant achievements or deficiencies which might enhance or impede the candidate's progress toward higher rank shall be noted.

The head/chair or unit head shall prepare a written report covering the major points of the conference. A copy of the report shall be provided to the Lecturer faculty member within a month of the conference. The Lecturer faculty member shall be asked to sign it as confirmation of having seen it. If the Lecturer faculty member does not agree with material in the report, he/she may write a response to be appended to the report. One copy of the signed report and response, if there is one, is to be retained for the Lecturer faculty member's departmental personnel file and copied to the Office of the Provost; another copy is to be given to the Lecturer faculty member. This report is to remain confidential, available only for the use of the concerned Lecturer faculty member and any University officials who have supervisory responsibility over the Lecturer faculty member.

Each department head/chair or unit head shall conduct a third year review of all its Lecturer faculty members according to college/school guidelines. As with the annual review, the head/chair or unit head shall request a current vita and any supporting material the head/chair or unit head or the Lecturer faculty member deems appropriate prior to the third year review. The particular focus of this review is the Lecturer faculty member's progress toward achieving promotion. The review, therefore, must address the specific departmental/college/school criteria for promotion. The head/chair or unit head shall prepare a written report covering the findings of the review.

F. Promotion Criteria and Considerations for Lecturer Faculty

A Lecturer faculty member is focused on instruction and has the obligation to contribute to his/her discipline through teaching. To a large extent, each discipline and each department must determine how much and what quality of Lecturer practice is appropriate for promotion and judge its candidates accordingly.

G. Eligibility for Promotion

There is no fixed requirement for years of service at a given rank before a Lecturer faculty member can be promoted. Lecturer faculty members on leave of absence without pay need not count his/her leave time toward promotion. A Lecturer faculty member on leave without pay cannot be a candidate for promotion while on leave.

H. Procedure for Promotion

Promotion will be specific for each department and criteria must be approved by the Dean and Provost's Office. Promotion decisions will be determined by the specific department, department head/chair and the dean of the respective college or school. As the Chief Academic Officer of Auburn University, the Provost retains the right to review all promotions and act appropriately.

I. Terms and Continuation of Appointment

Lecturer faculty will be appointed with written contracts. The following principles outline the policy on continuation of the contract for Lecturer faculty members.

All Lecturer title series positions are one year contracts that may be renewed annually or, if for a lesser period of time, the period of funding from the contract, grant, or other designated funds. Renewal is contingent upon funding being available and upon performance. All appointees in the Lecturer title series will have annual, written employment contracts.

All department heads/chairs and unit heads shall conduct at least one yearly review with each faculty member to evaluate his or her performance and to discuss his or her future development. In order to review the faculty member fairly, the head/chair shall request a current vita and any supporting material the head/chair of the faculty member deems appropriate prior to the review. More frequent reviews may be conducted at the discretion of the faculty member or the department head/chair.

The initial letter of appointment should clearly define the length of the appointment, not to exceed one year, benefits, and duties/responsibilities. The offer letter should make clear that continuation of appointment is subject to the availability of funds, the need for services, and satisfactory performance. Letters containing promises not consistent with the Lecturer title procedures are not enforceable unless authorized in writing by the President of Auburn University.

J. Dismissal

The expectation of continuous employment provides the guarantee needed to ensure academic freedom. Termination of a Lecturer/Senior Lecturer during the contract term shall be effected by the University only for lack of funding or adequate cause. If termination during the contract term is for reasons other than lack of funding, then Chapter 3, Section 9.2 of this Faculty Handbook

provides that “Rights of due process shall also apply to a non-tenured faculty member dismissed before completion of his or her contractual term.” Dismissal shall not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.

K. Noncontinuation of Appointment

The contractual period for faculty in the Lecturer title series is nine months and the university retains the right to continue or noncontinue a faculty member in the Lecturer series.

L. Graduate Faculty

A faculty member on appointment in the Lecturer title series may be proposed, recommended, and approved for membership in the Graduate Faculty as provided in this Handbook. If an appointee in the Lecturer title series is approved for membership, the individual's participation as a member of the Graduate Faculty shall be limited to directing graduate theses and dissertations, teaching courses that he/she are qualified to teach according to accreditation guidelines, and to serving on committees appointed by the Dean of the Graduate School in proportion to their other assignments.

M. Conditions of Employment

A faculty member on appointment in the Lecturer title series is eligible for benefits as provided in this Handbook or other applicable University policies, except tenure, de facto tenure, and professional improvement leave. University contributions toward retirement, social security, annual and sick leave, and insurance benefits for the faculty member shall be covered through the contract, grant, generated income, or other designated funds which provide support for the individual's position.

N. University Membership

A Lecturer/Senior Lecturer may be eligible to vote on faculty matters according to department and/or school/college governance rules; this may include the ability to serve on committees. They are encouraged to improve their instructional qualifications and are eligible for departmental/college resources earmarked for such purposes; this may include eligibility for travel and other resources.

A Lecturer faculty member may vote on and/or be elected the department's representative in the University Senate.

O. Change from Non Tenure Track to Tenure Track Faculty

An appointment of a Lecturer/Senior Lecturer from the Lecturer title series to tenure-track faculty may only occur through normal, faculty approved, Department Head/Chair and Dean approved, Provost approved and AA/EEO approved tenure-track recruitment. Lecturer/Senior Lecturer time will not count toward the tenure clock.

Change of position from tenure-track: An appointment from a tenure-track position to the Lecturer title series may only occur through normal, faculty approved, Department Head/Chair and Dean approved, Provost approved and AA/EEO approved recruitment.

P. AAUP Guidelines

Auburn endorses the AAUP guidelines stating that no more than 15% of the total instruction within an institution and no more than 25% of the total instruction within any department should be provided by faculty with non-tenure-track appointments. In Auburn University's efforts to adhere to these guidelines, any exceptions to these percentages must be approved in writing by the Provost on an annual basis.

5.2 Guidelines for Establishing and Filling Positions in the Clinician Title Series

Executive Summary

Appointment and Promotion in the Clinician Title Series

A. Introduction

B. Definition

C. Establishment of a Position

- [Initial Appointment](#)

D. Areas of Activity

E. Academic Ranks, Titles, and Criteria

F. Performance Evaluation

G. Promotion Criteria and Considerations for Clinical Faculty

H. Eligibility for Promotion

I. Procedure for Promotion

J. Terms and Continuation of Appointment

K. Dismissal

L. Noncontinuation of Appointment

M. Graduate Faculty

N. Conditions of Employment

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P. Change from Non Tenure Track to Tenure Track Faculty

Executive Summary

The clinician title series is a non tenure track professional series for appointment of appropriately qualified individuals who contribute to the university's academic mission by participation in activities which (1) predominantly involve clinical practice, (2) are of contractually specified duration, and (3) operate under contracts, grants, generated income, or other designated funds. The designated funds which are appropriate are defined in the body of the document. Note, however, that clinical faculty are expected to teach in the clinical setting, and when this occurs, funding for instruction may either be from income or an appropriate source for such instructional activity.

Criteria for appointment, performance review and promotion in the clinical title series are included herein. Appointment, review, and promotion in the clinical title series require demonstrated ability to initiate and maintain a program of clinical practice supported by generating clinical income. Employment as an Associate Clinical Professor and Clinical Professor requires evidence of prior or current success as a clinical practitioner. Contract, grant, income or other designated funds are expected to cover salaries and costs of benefits for the clinical titled individual, and other appropriate expenses. Appointees in the clinical title series are not eligible for tenure or de facto tenure.

All clinical title series positions are one year contracts that may be renewed annually, but not to exceed the period of funding from the anticipated income. All appointees in the clinical title series will have annual, written employment contracts.

Appointees in the clinical title series are considered to be clinicians/educators and are under the supervision of the department head/chair or unit head. They are eligible for all the benefits except tenure, de facto tenure, and professional improvement leave. The department or unit must assure that space and facilities are available for conducting clinical work as appropriate for an independent clinician. Clinical title series positions are not to be considered a substitute for resident or post doctorate positions or a means to extend resident or post doctorate appointment beyond university time limits for resident appointments.

To establish a position in the clinical title series, the initiating unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source (including any commitment of Auburn University), amount, and term of income funding, (2) prepare a job description and

identify any space that is needed for the performance of the clinical practice; and (3) obtain approvals of the proposal by the chief administrative officer of the concerned unit, the dean of the college/school, and the Provost. The proposal shall be transmitted to Dean of the college/school by the department head/chair or unit head with his/her indication of faculty approval for establishment of the position. The hiring of clinical faculty will follow normal university hiring procedures, except where to do so would be impractical because of the provisions/requirements of the anticipated contract, grant or income funds. Joint appointments require the approval of all Deans involved.

Promotions in the clinical title series will be specified for each department and criteria must be approved by the Provost's Office. Promotion decisions will be determined by the specific document, department head/chair, and the dean of the respective college or school. Promotion decisions must correspond to the annual deadlines approved by the Provost's Office and be reported to the Provost's Office accordingly.

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Appointment and Promotion in the Clinician Title Series

A. Introduction

In its role as a comprehensive research institution, Auburn University has a need to continuously expand its pool of scientists, engineers, clinicians, highly trained specialists, and other highly qualified personnel who are not part of the tenure-track system to meet responsibilities in clinical practice/education, especially those responsibilities related to projects which the institution operates under contracts, grants or with generated income. To fulfill these requirements more effectively and to be more competitive in attracting and retaining needed professional personnel, a clinical title series for appointments and promotions without tenure is established as hereafter defined and described.

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B. Definition

The clinician title series is a professional series for appointment and promotion of appropriately qualified individuals who participate in the University's mission by participation in projects which (1) predominantly involve clinical practice/education, (2) are of contractually specified duration, and (3) operate under contracts, grants, generated income or other designated funds. Designated funds are defined as:

1. Generated income
2. Contracts or grants funds either from external or internal sources
3. Cost sharing funds

4. Funds from indirect cost recoveries
5. Funds from the OVPR
6. Endowment funds
7. Gift funds
8. Funds from operating budgets of individual units currently designated for non-tenure track personnel with appropriate salary increases and market value for new hires
9. Discretionary funds from the Office of the President and/or Office of the Provost that are designated for clinical practice/education
10. Discretionary funds under the control of deans and directors, that are designated for clinical practice/education

A faculty member on appointment in the clinician title series is primarily expected to provide clinical services and clinical practice and to a lesser extent other scholarly endeavors. Interim appointment and payment of salary from funds other than those associated with contracts, grants, generated funds and other designated funds may occur, with approval of the Provost, when there is a gap of six months or less between approved contracts, grants, or generated income. However, in such circumstances, the appointee's assignment shall be consistent with the duties which the individual had and will be expected to continue under a clinical practice program which is supported from generated income, contracts, grants or other designated funds. Classroom teaching duties may be assigned if the only salary funds available are teaching funds or research duties may be assigned if the only salary funds available are from research contracts and grants.

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C. Establishment of a Position

To establish a position in the clinician title series, the initiating unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source (including any commitment of Auburn University), amount, and term of funding for the program of clinical practice, (2) prepare a job description and identify any space that is needed for the performance of clinical practice; and (3) obtain approvals of the proposal by the chief administrative officer of the concerned unit, the dean of the college/school, and the Provost. The proposal shall be transmitted to Dean of the college/school by the department head/chair or unit head with his/her indication of faculty approval for establishment of the position. The hiring of clinical faculty will follow normal university hiring procedures, except where to do so would be impractical because of the provisions of the contract, grant, generated income or other designated funds. Joint appointments require the approval of all Deans involved.

Initial Appointment

Initial appointments are made as the result of normal recruitment procedures. Departments and units have some leeway in establishing the search procedures most appropriate for their particular circumstances. The department or unit might act as a committee of the whole or smaller screening committees might be used; a recommendation by a search committee might be transmitted to the department or unit as a whole for further consideration and transmittal to the

department head/chair or unit head or it might be transmitted directly to the department head/chair or unit head. Whatever the procedure, it should be established in advance of need by the department or unit as a whole. The department head/chair or unit head, in consultation with his or her faculty, should decide upon the positions needed and the qualifications a successful candidate must have. Together they should develop a position description to be supplied to the candidates. The appointment of an internal candidate to fill a vacancy is a temporary solution and shall neither foreclose nor delay a national search to fill the originally vacated position. The internal candidate may subsequently compete in the national search.

The department head/chair or unit head and the search committee shall be guided by the Provost Office and Affirmative Action Office in framing an advertisement for the position, in seeking permission to advertise, and in recommending an appointment. Guidelines from the Affirmative Action Office help ensure compliance with federal law and help ensure an open and fair search.

When making recommendations for appointments in the clinical title series except those designated as temporary, the department head/chair or unit head shall confer with all available members of the department holding professorial ranks or, if the unit does not include professorial faculty, with those faculty holding continuing appointments. He or she shall then transmit a written summary of the reactions of these faculty members along with appointment forms through the appropriate dean and/or director, to the Provost. Where the faculty members do not concur in an initial appointment, the head/chair may submit a recommendation for appointment with his or her justification and a report of non-concurrence of the faculty. An appointment made without the support of the faculty may jeopardize the new hire since the faculty will ultimately vote on promotion.

The doctorate is the terminal degree for most disciplines represented at Auburn University. Requests for exceptions must be presented with appropriate justification by the department head/chair, with faculty concurrence, and the dean to the Provost. The appointment cannot be made without the approval in writing of the Provost's Office.

Each initial appointment must be confirmed by the appropriate department head/chair/unit head or dean in a written notice to the appointee after proper administrative approvals have been obtained. This notice should include determination of prior service at another institution to be credited toward the probationary period. This letter constitutes the faculty member's written terms of the initial employment.

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D. Areas of Activity

Four areas of activity are important in the evaluation of individuals for appointment, performance review, and promotion in the clinician title series: (1) documented evidence of effective clinical practice; (2) national and international professional status and activity as indicated by evaluation statements from external peers; (3) ability to initiate and maintain a program of clinical practice supported by contracts, grants, or generated income, (4) collegiality, as defined for tenure track faculty in this Handbook. Promotion Criteria and Considerations -

Research/Creative Work; guidelines for the third area of activity are well-established in that the contract, grant, generated income or other source of designated funds should cover salaries and costs of benefits for personnel.

Clinical faculty are expected to teach in the clinical setting. The contract between the clinical faculty and the university must specify the amount of teaching expected and an appropriate source of the funding to support such instructional activity.

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E. Academic Ranks, Titles, and Criteria

The academic ranks and related titles in the clinician title series shall be: (1) clinical lecturer, (2) assistant clinical professor; (3) associate clinical professor and (4) clinical professor. Although it is not feasible to specify exact criteria for evaluating the credentials of an individual for appointment or promotion to any one particular rank in the clinician title series, the following statements are provided as guidelines.

1. Clinical Lecturer

Clinical Lecturer is an entry-level rank for a candidate who has completed the appropriate terminal professional degree or has the equivalent in training, ability, and experience and meets appropriate credentialing requirements for course instruction. An appointee is not required to have a minimum number of years in clinical service to be eligible for the rank of clinical lecturer. Promotion from clinical lecturer to assistant clinical professor is possible, if allowed by college/school promotion guidelines.

2. Assistant Clinical Professor

Assistant Clinical Professor is the usual entry-level rank for a candidate who has completed the appropriate terminal professional degree or has the equivalent in training, ability, and experience and meets appropriate credentialing requirements. An appointee is not required to have a minimum number of years in clinical service to be eligible for the rank of assistant clinical professor.

Appointment to the rank of assistant clinical professor shall be made when it has been determined that the individual (1) has a current independent capability of having a reliable clinical practice supported through contracts, grants, generated income or other designated funds, (2) has a potential for significant professional growth in the area of clinical practice, and (3) holds the professional degree including licensure/certification appropriate to the field.

3. Associate Clinical Professor

Associate Clinical Professor is a rank of distinction which is attained through successful performance of assigned duties. A candidate should hold the appropriate terminal professional

degree or has the equivalent in training, ability, and experience and meets appropriate credentialing requirements.

Criteria for promotion to associate clinical professor are specific to each department, according to Provost approved guidelines, and must be approved by the Provost's Office. Promotion decisions will be determined by the specific department head/chair and the dean of the respective college or school. Promotion decisions must correspond to the annual deadlines approved by the Provost's Office and reported to the Provost's Office accordingly.

4. Clinical Professor

Clinical Professor is a rank requiring professional peer-recognition of the individual as an authority in his/her field of specialization. A candidate must be nationally recognized by associates as a clinician. 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 professional degree or have the equivalent in training, ability, and experience and meet appropriate credentialing requirements.

Criteria for promotion to clinical professor are specific to each department and approved by the Dean and Provost's Office. Promotion decisions will be determined by the specific department head/chair and the dean of the respective college or school. Promotion decisions must correspond to the annual deadlines approved by the Provost's Office and reported to the Provost's Office accordingly.

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F. Performance Evaluation

All department heads/chairs and unit heads, such as center and institute directors, shall conduct at least one yearly review before May 31 with each clinical track faculty member to evaluate his/her performance and to discuss his/her future development. For the review, the clinical faculty member will provide a current vita and any supporting material the head/chair or unit head or the clinical faculty member deems appropriate.

In the case of clinical faculty members who have not achieved promotion to assistant clinical professor, associate clinical professor or clinical professor, particular care shall be taken by the department head/chair or unit head to relate the faculty member's job performance to the promotion criteria set forth in this document. Significant achievements or deficiencies which might enhance or impede the candidate's progress toward higher academic rank shall be noted.

The head/chair or unit head shall prepare a written report covering the major points of the conference. A copy of the report shall be provided to the clinical faculty member within a month of the conference. The clinical faculty member shall be asked to sign it as confirmation of having seen it. If the clinical faculty member does not agree with material in the report, he/she may write a response to be appended to the report. One copy of the signed report and response, if there is one, is to be retained for the clinical faculty member's departmental personnel file and copied to the Office of the Provost; another copy is to be given to the clinical faculty member.

This report is to remain confidential, available only for the use of the concerned clinical faculty member and any University officials who have supervisory responsibility over the clinical faculty member.

Each department head/chair or unit head shall conduct a third year review of all its clinical lecturers and assistant clinical professors according to college/school guidelines. As with the annual review, the head/chair or unit head shall request a current vita and any supporting material the head/chair or unit head or the clinical faculty member deems appropriate prior to the third year review. The particular focus of this review is the clinical faculty member's progress toward achieving promotion. The review, therefore, must address the specific departmental/college/school criteria for promotion. The head/chair or unit head shall prepare a written report covering the findings of the review.

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G. Promotion Criteria and Considerations for Clinical Faculty

A clinical faculty member is focused on clinical practice and has the obligation to contribute to his/her discipline through clinical practice and clinical teaching. To a large extent, each discipline and each department must determine how much and what quality of clinical practice is appropriate for promotion and judge its candidates accordingly.

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H. Eligibility for Promotion

There is no fixed requirement for years of service at a given rank before a clinical faculty member can be promoted. A clinical faculty member on leave of absence without pay need not count his/her leave time toward promotion. A clinical faculty member on leave without pay cannot be a candidate for promotion while on leave.

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I. Procedure for Promotion

Promotion will be specific for each department and criteria must be approved by the Dean and Provost's Office. Promotion decisions will be determined by the specific department, department head/chair and the dean of the respective college or school. As the Chief Academic Officer of Auburn University, the Provost retains the right to review all promotions and act appropriately.

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J. Terms and Continuation of Appointment

Although it has been the custom of the University for faculty appointments to be continued by mutual commitment and understanding rather than by formal contracts, clinical faculty will be

appointed with written contracts. The following principles outline the policy on continuation of the contract for clinical faculty members.

All clinical title series positions are one year contracts that may be renewed annually or, if for a lesser period of time, the period of funding from the contract, grant, or other designated funds. Renewal is contingent upon funding being available and upon performance. All appointees in the clinical title series will have annual, written employment contracts.

All department heads/chairs and unit heads shall conduct at least one yearly review with each faculty member to evaluate his or her performance and to discuss his or her future development. In order to review the faculty member fairly, the head/chair shall request a current vita and any supporting material the head/chair of the faculty member deems appropriate prior to the review. More frequent reviews may be conducted at the discretion of the faculty member or the department head/chair.

The initial letter of appointment should clearly define the length of the appointment, not to exceed one year, benefits, and duties/responsibilities. The offer letter should make clear that continuation of appointment is subject to the availability of funds, the need for services, and satisfactory performance. Language that speaks to continuation beyond the initial appointment should include specific conditions. For example, the grant, contract or income from which the clinical faculty is to be paid may be for multiple years, but rarely is funding for subsequent years guaranteed. Letters containing promises not consistent with the clinical title procedures are not enforceable unless authorized in writing by the President of Auburn University.

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K. Dismissal

Termination of a clinical faculty member during the contract term shall be effected by the University only for lack of funding, or adequate cause, including but not limited to lack of collegiality and unprofessional behavior. If termination during the contract term is for other than for lack of funding, then Chapter 3, Section 9.2 of this Handbook provides that "Rights of due process shall also apply to a non-tenured faculty member dismissed before completion of his or her contractual term." Dismissal shall not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.

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L. Noncontinuation of Appointment

The contractual period for faculty in the clinical title series is 12 months and the university retains the right to continue or noncontinue a faculty member in the clinical series. If a clinical faculty member whose contract is not to be renewed so requests, he or she shall be provided with a written statement of reasons why the contract is not to be renewed. In order to insure that noncontinuation is not used to restrain faculty members in their exercise of academic freedom, an employee in the clinical non-tenure track ladder is afforded the opportunity to appeal his/her

noncontinuation using the same procedure as provided in this Handbook for tenure track faculty members who are given letters of non continuation.

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M. Graduate Faculty

A faculty member on appointment in the clinical title series may be proposed, recommended, and approved for membership in the Graduate Faculty as provided in this Handbook. If an appointee in the clinical title series is approved for membership, the individual's participation as a member of the Graduate Faculty shall be limited to directing graduate theses and dissertations, teaching courses that he/she are qualified to teach according to accreditation guidelines, and to serving on committees appointed by the Dean of the Graduate School in proportion to their other assignments.

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N. Conditions of Employment

A faculty member on appointment in the clinical title series is eligible for benefits as provided in this Handbook or other applicable University policies, except tenure, de facto tenure, and professional improvement leave. University contributions toward retirement, social security, annual and sick leave, and insurance benefits for the faculty member shall be covered through the contract, grant, generated income, or other designated funds which provide support for the individual's position.

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O. University Membership

A clinical faculty member shall be eligible to vote on all faculty matters, including faculty appointment and promotion but not on tenure. A clinical faculty member may vote on and/or be elected the department's representative in the University Senate.

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P. Change from Non Tenure Track to Tenure Track Faculty

If the appointment of a faculty member is changed from the clinical title series to tenure track faculty through normal, faculty approved, tenure track hiring, years of service while on appointment in the clinical title series will be treated as full-time service in a faculty rank at another institution, as described in this Handbook.

5.3 Guidelines for Establishing and Filling Positions in the Research Title Series

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C. Establishment of a Position

D. Areas of Activity

Initial Appointment

E. Academic Ranks, Titles, and Criteria

F. Performance Evaluation

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M. Graduate Faculty

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P. Change from Non Tenure Track to Tenure Track Faculty

Executive Summary

The research title series is a professional series for appointment of appropriately qualified individuals who contribute to the university's academic mission by participation in projects which (1) predominantly involve research, (2) are of contractually specified duration, and (3) operate under contracts, grants, generated income, or other designated funds.

Criteria for appointment, performance review and promotion in the research title series are included herein. Appointment, review, and promotion in the research title series require demonstrated ability to initiate and maintain a program of research supported by contracts, grants, generated income, or other designated funds. Employment as an Associate Research Professor and Research Professor requires evidence of prior or current success as a Principal Investigator or Co-Principal Investigator of research grants. Contract, grant, generated income, or other designated funds are expected to cover salaries and costs of benefits for the research titled individual, operating expenses, equipment and overhead. Appointees in the research title series are not eligible for tenure or de facto tenure.

All research title series positions are one year contracts that may be renewed annually, but not to exceed the period of funding from the contract, grant, generated income, or other designated funds. All appointees in the research title series will have annual, written employment contracts.

Appointees in the research title series are considered to be independent investigators and are under the supervision of the department head/chair or unit head. They are eligible for all benefits except tenure, de facto tenure, and professional improvement leave. The department or unit must assure that space and facilities are available for conducting research as appropriate for an independent investigator. Research title series positions are not to be considered a substitute for post-doctoral positions or a means to extend post-doctoral appointment beyond university time limits for post-doctoral appointments.

To establish a position in the research title series, the initiating unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source (including any commitment of Auburn University), amount, and term of funding for the program of research, (2) prepare a job description and identify any space that is needed for the performance of research; and (3) obtain approvals of the proposal by the chief administrative officer of the concerned unit, the dean of the college/school, and the Provost. The proposal shall be transmitted to Dean of the college/school by the department head/chair or unit head with his/her indication of faculty approval for establishment of the position. The hiring of research faculty will follow normal university hiring procedures, except where to do so would be impractical because of the provisions/requirements of the contract, grant, generated income, or other designated funds. Joint appointments require the approval of all Deans involved.

Procedures for promotion in the research title series will be specified by each department and criteria must be approved by the college/school and the Provost Office. Promotion decisions

must correspond to the annual deadlines approved by the Provost's Office and be reported to the Provost's Office accordingly.

I. Appointment and Promotion in the Research Title Series

A. Introduction

In its role as a comprehensive research institution, Auburn University has a need to continuously expand its pool of scientists, engineers, specially trained investigators, and other highly qualified personnel who are not part of the tenure-track system to meet responsibilities in research, especially those responsibilities related to projects which the institution operates under contracts, grants or other designated funds. To fulfill these requirements more effectively and to be more competitive in attracting and retaining needed professional personnel, a research title series for appointments and promotions without tenure is established as hereafter defined and described.

B. Definition

The research title series is a professional series for appointment and promotion of appropriately qualified individuals who participate in the University's mission by participation in projects which (1) predominantly involve research, (2) are of contractually specified duration, and (3) operate under contracts, grants, generated income, or other designated funds. Designated funds are defined as:

- Generated income
- Contracts or grants funds either from external or internal sources
- Cost sharing funds
- Funds from indirect cost recoveries
- Funds from the OVPR
- Endowment funds
- Gift funds
- Funds from operating budgets of individual units currently designated for non-tenure track personnel with appropriate salary increases and market value for new hires
- Discretionary funds under the control of deans and directors, that are designated for research

A faculty member on appointment in the research title series shall not have any regularly scheduled teaching or service assignments. Interim appointment and payment of salary from funds other than those associated with contracts, grants, and other designated funds may occur, with approval of the Provost, when there is a gap of six months or less between approved contracts, grants, or other sources of designated funds.

However, in such circumstances, the appointee's assignment shall be consistent with the duties which the individual had and will be expected to continue under a program for research which is supported from contracts,

C. Establishment of a Position

To establish a position in the research title series, the initiating unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source (including any commitment of Auburn University), amount, and term of funding for the program of research, (2) prepare a job description and identify any space that is needed for the performance of research; and (3) obtain approvals of the proposal by the chief administrative officer of the concerned unit, the dean of the college/school, and the Provost. The proposal shall be transmitted to Dean of the college/school by the department head/chair or unit head with his/her indication of faculty approval for establishment of the position. The hiring of research faculty will follow normal university hiring procedures, except where to do so would be impractical because of the provisions of the contract, grant or other designated funds. Joint appointments require the approval of all Deans involved.

D. Areas of Activity

Four areas of activity are important in the evaluation of individuals for appointment, performance review, and promotion in the research title series: (1) documented evidence of research; (2) national and international professional status and activity as indicated by evaluation statements from external peers; (3) ability to initiate and maintain a program of research supported by contracts, grants, generated income, or other designated funds. Guidelines relative to the first two areas of activity are described in Chapter 3 of this Handbook; guidelines for the third area of activity are well-established in that the contract, grant, or other source of designated funds should cover salaries and costs of benefits for personnel, operating expenses, equipment, and overhead.

Initial Appointment

Initial appointments are made as the result of normal recruitment procedures. Departments and units have some leeway in establishing the search procedures most appropriate for their particular circumstances. The department or unit might act as a committee of the whole or smaller screening committees might be used; a recommendation by a search committee might be transmitted to the department or unit as a whole for further consideration and transmittal to the department head/chair or unit head or it might be transmitted directly to the department head/chair or unit head. Whatever the procedure, it should be established in advance of need by the department or unit as a whole. The department head/chair or unit head, in consultation with his or her faculty, should decide upon the positions needed and the qualifications a successful

candidate must have. Together they should develop a position description to be supplied to the candidates. The appointment of an internal candidate to fill a vacancy is a temporary solution and shall neither foreclose nor delay a national search to fill the originally vacated position. The internal candidate may subsequently compete in the national search.

The department head/chair or unit head and the search committee shall be guided by the Provost Office and the Affirmative Action Office in framing an advertisement for the position, in seeking permission to advertise, and in recommending an appointment. Guidelines from the Affirmative Action Office help ensure compliance with federal law and help ensure an open and fair search.

When making recommendations for appointments in the research title series except those designated as temporary, the department head/chair or unit head shall confer with all available members of the department holding professorial ranks or, if the unit does not include professorial faculty, with those faculty holding continuing appointments. He or she shall then transmit a written summary of the reactions of these faculty members, including a formal vote, along with appointment forms through the appropriate dean and/or director, to the Provost. Where the faculty members do not concur in an initial appointment, the head/chair may submit a recommendation for appointment with his or her justification and a report of non-concurrence of the faculty. An appointment made without the support of the faculty may jeopardize the new hire since the faculty will ultimately vote on promotion.

The doctorate is the terminal degree for most disciplines represented at Auburn University. Requests for exceptions must be presented with appropriate justification by the department head/chair, with faculty concurrence, and the dean to the Provost. The appointment cannot be made without the approval in writing of the Provost Office.

Each initial appointment must be confirmed by the appropriate department head/chair/unit head or dean in a written notice to the appointee after proper administrative approvals have been obtained. This letter constitutes the faculty member's written terms of the initial employment.

E. Academic Ranks, Titles, and Criteria

The academic ranks and related titles in the research title series shall be: (1) assistant research professor; (2) associate research professor and (3) research professor. Although it is not feasible to specify exact criteria for evaluating the credentials of an individual for appointment or promotion to any one particular rank in the research title series, the following statements are provided as guidelines.

1. Assistant Research Professor

Assistant Research 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 and meets appropriate credentialing requirements. While a terminal degree or the equivalent is required, an appointee is not required to have a minimum number of years in research service to be eligible for the rank of assistant research professor.

Appointment to the rank of assistant research professor shall be made when it has been determined that the individual (1) has a current independent capability for conducting reliable research supported through contracts, grants, or other designated funds, (2) has a potential for significant professional growth in the field of research, and (3) holds the terminal academic degree appropriate to the field.

2. Associate Research Professor

Associate Research 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 in training, ability, and experience and meets appropriate credentialing requirements.

A candidate for associate research professor should have demonstrated mastery of the subject matter in his/her field and the ability to apply it well in his/her research work. Additionally, the candidate should have contributed, typically through significant work, to his/her area of specialization and participated in professional activities.

Criteria for promotion to associate research professor are specific to each department, according to approved guidelines, and must be approved by the Provost's Office. Promotion decisions will be determined by the specific department head/chair and the dean of the respective college or school. Promotion decisions must correspond to the annual deadlines approved by the Provost's Office and reported to the Provost's Office accordingly. As the Chief Academic Officer of Auburn University, the Provost retains the right to review all proposed promotions and act appropriately.

Appointment or promotion to the rank of associate research professor shall be made only after documented indication of continuous improvement and contribution by the individual in research activity supported through contracts, grants, generated income, or other designated funds. Successful efforts in obtaining extramural support for research work must be demonstrated.

3. Research Professor

Research Professor is a rank requiring professional peer-recognition of the individual as an authority in his/her field of specialization. A candidate must be recognized by associates as a

researcher. 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 in training, ability, and experience and meets appropriate credentialing requirements.

Criteria for promotion to research professor are specific to each department, according to approved guidelines, and must be approved by the Provost's Office. Promotion decisions will be determined by the specific department head/chair and the dean of the respective college or school. Promotion decisions must correspond to the annual deadlines approved by the Provost's Office and reported to the Provost's Office accordingly. As the Chief Academic Officer of Auburn University, the Provost retains the right to review all proposed promotions and act appropriately.

F. Performance Evaluation

All department heads/chairs and unit heads, such as center and institute directors, shall conduct at least one yearly review before May 31 with each research track faculty member to evaluate his/her performance and to discuss his/her future development. For the review, the research faculty member will provide a current vita and any supporting material the head/chair or unit head or the research faculty member deems appropriate.

In the case of research faculty members who have not achieved promotion to associate research professor or research professor, particular care shall be taken by the department head/chair or unit head to relate the faculty member's job performance to the promotion criteria. Significant achievements or deficiencies which might enhance or impede the candidate's progress toward higher academic rank shall be noted.

The head/chair or unit head shall prepare a written report covering the major points of the conference. A copy of the report shall be provided to the research faculty member within a month of the conference. The research faculty member shall be asked to sign it as confirmation of having seen it. If the research faculty member does not agree with material in the report, he/she may write a response to be appended to the report. One copy of the signed report and response, if there is one, is to be retained for the research faculty member's departmental personnel file and copied to the Office of the Provost; another copy is to be given to the research faculty member. This report is to remain confidential, available only for the use of the concerned research faculty member and any University officials who have supervisory responsibility over the research faculty member.

Each department head/chair or unit head shall conduct a third year review of all its assistant research professors. As with the annual review, the head/chair or unit head shall request a current vita and any supporting material the head/chair or unit head or the research faculty member

deems appropriate prior to the third year review. The particular focus of this review is the research faculty member's progress toward achieving promotion. The review, therefore, must address the specific departmental/college/school criteria for promotion. The head/chair or unit head shall prepare a written report covering the findings of the review.

G. Promotion Criteria and Considerations for Research Faculty

A research faculty member is focused on research work and has the obligation to contribute to his/her discipline through applied and/or basic research. To a large extent, each discipline and each department must determine how much and what quality of research work is appropriate for promotion and judge its candidates accordingly.

H. Eligibility for Promotion

There is no fixed requirement for years of service at a given rank before a research faculty member can be promoted. A research faculty member on leave without pay cannot be a candidate for promotion while on leave.

I. Procedure for Promotion

Promotion will be specific for each department and criteria must be approved by the Dean and Provost's Office. Promotion decisions will be determined by the specific department, department head/chair and the dean of the respective college or school. As the Chief Academic Officer of Auburn University, the Provost retains the right to review all proposed promotions and act appropriately.

J. Terms and Continuation of Appointment

Although it has been the custom of the University for faculty appointments to be continued by mutual commitment and understanding rather than by formal contracts, research faculty will be appointed with written contracts. The following principles outline the policy on continuation of the contract for research faculty members.

All research title series positions are one year contracts that may be renewed annually or, if for a lesser period of time, the period of funding from the contract, grant, generated funds, or other designated funds. Renewal is contingent upon funding being available and upon performance.

The initial letter of appointment should clearly define the length of the appointment, benefits, and duties/responsibilities. The offer letter should make clear that continuation of appointment is subject to the availability of funds, the need for services, and satisfactory performance. Language that speaks to continuation beyond the initial appointment should include specific conditions. For example, the research grant or contract from which the research faculty is to be paid may be for

multiple years, but rarely is funding for subsequent years guaranteed. Letters containing promises not consistent with the research title procedures are not enforceable unless authorized in writing by the President of Auburn University.

K. Dismissal

Termination of a research faculty member during the contract term shall be effected by the University only for lack of research funding, or adequate cause, including but not limited to lack of collegiality and unprofessional research behavior. If termination during the contract term is for other than for lack of funding, then Chapter 3, Section 9.2 of this Handbook provides that "Rights of due process shall also apply to a non-tenured faculty member dismissed before completion of his or her contractual term." Dismissal shall not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.

L. Noncontinuation of Appointment

The contractual period for faculty in the research title series is 12 months and the university retains the right to continue or noncontinue a faculty member in the research series. If a research faculty member whose contract is not to be renewed so requests, he or she shall be provided with a written statement of reason why the contract is not to be renewed. In order to insure that noncontinuation is not used to restrain faculty members in their exercise of academic freedom, an employee in the research title series is afforded the opportunity to appeal his/her noncontinuation using the same procedure as provided in this Handbook for tenure track faculty members who are given letters of non continuation or by following the Scientific Misconduct Policy in Chapter 6 of this Handbook.

M. Graduate Faculty

A faculty member on appointment in the research title series may be proposed, recommended, and approved for membership in the Graduate Faculty as provided in this Handbook. If an appointee in the research title series is approved for membership, the individual's participation as a member of the Graduate Faculty shall be limited to directing graduate theses and dissertations and to serving on committees appointed by the Dean of the Graduate School taking into consideration their other assignments.

N. Conditions of Employment

A faculty member on appointment in the research title series is eligible for benefits as provided in this Handbook or other applicable University policies, except tenure, de facto tenure, and professional improvement leave. University contributions toward retirement, social security, annual and sick leave, and insurance benefits for the faculty member shall be covered through

the contract, grant, or other designated funds which provide support for the individual's position. Except as otherwise specifically provided herein, research series faculty are otherwise subject to all then existing University policies and procedures.

O. University Membership

A research faculty member shall be eligible to vote on all faculty matters, including faculty appointment and promotion but not on tenure. A research faculty member may vote on and/or be elected the department's representative in the University Senate.

P. Change from Non Tenure Track to Tenure Track Faculty

If the appointment of a faculty member is changed from the research title series to tenure track faculty through normal, faculty approved, tenure track hiring, years of service while on appointment in the research title series will be treated as full-time service in a faculty rank at another institution, as described in this Handbook.

5.4 Provost's Guidelines for Unit Specific Clinical Title Series Promotion Criteria

Guidelines for units to develop procedures, identify required documentation, and establish criteria for promotion of their clinical faculty

http://www.auburn.edu/academic/provost/clinicalpromotions_guidelines.html

5.5 Provost's Guidelines for Unit Specific Research Title Series Promotion Criteria

Guidelines for units to develop procedures, identify required documentation, and establish criteria for promotion of their research faculty

<http://www.auburn.edu/academic/provost/pdf/Guidelines%20for%20Unit%20Specific%20Research%20Title%20Series%20Promotion%20Criteria.pdf>

Section 6

Promotion and Tenure of Tenure-track Faculty

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. Department 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.

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 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. For tenure, the candidate must demonstrate quality and potential to contribute as a productive and collegial member of the academic unit in all relevant areas.

6.3 Effective Implementation of Provost Approved Department Promotion and Tenure Guidelines

Application of departmental promotion and tenure guidelines to individual faculty members

<http://www.auburn.edu/academic/provost/pdf/Implementation%20of%20P&T%20Guidelines.pdf>

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. 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 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.

6.5. Procedure for Promotion and Tenure

A. Initiation of the Process

The promotion process can be initiated by the candidate's department head/chair or by the candidate. In the case of tenure, it is the joint responsibility of the department head/chair and the faculty member to see that the tenure process begins at the appropriate time. The steps delineated below apply to both the promotion and tenure process.

Candidates and department heads/chairs should supply information necessary for evaluation in the format outlined in this chapter. This information should be available first to eligible faculty members, then to the dean and, if applicable, the College Committee, then to the University-level Promotion and Tenure Committee. The information requested is sufficiently detailed so that faculty members can evaluate a candidate in terms of both potential and achievement. Department heads/chairs and candidates who have questions about material to be submitted should feel free to contact the Provost.

B. Participating Faculty

Faculty members eligible to participate in evaluation of the candidate are those of higher rank than the candidate for promotion and those with tenure in the case of a candidate for tenure.

C. Information on the Candidate

The outline printed below indicates the kind of information each candidate for promotion and/or tenure and his or her department head/chair should supply and describes the format to be followed in presenting that information.

(1) General Instructions

The candidate and the department head/chair should jointly supply (1) applicable department guidelines that establish criteria for evaluation and (2) the weights of each performance area as described in the letter of offer or as modified by subsequent annual evaluations.

All lists (of positions held, courses taught, publications, etc.) should be in reverse chronological order with dates clearly indicated.

Supporting material such as publications, slides, course materials, evaluative material (book reviews, published critiques, adjudicated production reviews, etc.) should be made available for review by the department and later by the dean and College Committee. The candidate and department head/chair should agree on the selection of material to be made available. This material should not be forwarded to the Promotion and Tenure Committee.

(2) Information to be Supplied by the Candidate

1. A Standard Biographical Data sheet ([PDF Form](#)).
2. A percent breakdown of the allocation of time and effort for teaching, research/creative work, outreach, and service for the past three years.
3. A list of honors and awards. Include academic honors, teaching awards, fellowships (such as NEH, NEA), internal support (including professional improvement leave), election to professional societies, etc.
4. A list of scholarly contributions in accord with the following outline. A candidate should present his or her work as informatively and accurately as possible. A candidate should cross-reference work that falls in two areas (e.g.: See X.x.). Librarians and archivists should interpret teaching to apply to performing as a librarian or archivist and adapt the following outline accordingly.

Scholarly Contributions by the Candidate

A. Teaching

1. Actual courses taught for each semester of the past three years. Indicate lecture/lab hours per week and enrollment.

2. *Graduate students whose work has been completed. Indicate degree awarded to the student, year, and, if known, position now held by the student; indicate whether the candidate was the major professor or a committee member.*

3. *Graduate students on whose committee the candidate is presently serving. Indicate whether the candidate is the major professor or a committee member. Indicate the degree the student is working for and the work that the candidate has done.*

4. *Courses and curricula developed.*

5. *Grants received related to teaching.*

6. *Publications pertaining to teaching. Include textbooks, manuals, articles on pedagogy.*

7. *Other contributions to teaching.*

8. *Statement of candidate's teaching philosophy and self-evaluation in terms of his or her stated values. This should be no longer than one page.*

B. Research/Creative Work

For publications: provide complete publication data. In cases of multiple authorship, list names of all authors in correct order. Inform the committee of the significance of author order on publications in the candidate's disciplines. Indicate percent of the candidate's contribution or describe the nature of the candidate's contribution; indicate, by means of an asterisk, student contributions. Provide, in an appendix, proof of acceptance of publications in press and proof of publications of which acceptance is conditional. Do not submit manuscripts that have not been accepted for publication. For exhibitions and performances, provide dates and locations.

1. *Books.*

2. *Article-length publications. Distinguish by type: book chapters, articles in refereed journals and invited articles, bulletins, proceedings, transactions, abstracts, book reviews, non-refereed articles, etc.*

3. *Papers or lectures. Distinguish by type: papers at professional meetings, invited lectures, etc.*

4. *Exhibitions. Distinguish between juried or invitational shows; identify work(s) and juror (juries); indicate regional, national, or international exhibitions.*

5. *Performances. Distinguish between local performances, out-of-town invitationals, concert series, etc. List musical compositions here.*

6. *Patents and inventions.*

7. *Other research/creative contributions.*

8. *Grants and contracts. Note all co-authors, identifying the principal investigator and the involvement of the candidate; indicate funding source and amount. Distinguish between grants received and grants applied for but not funded. (Note: internal support and NEH and NEA fellowships should be listed under Honors and Awards above.)*

9. *Description of candidate's scholarly program. Work in progress and work anticipated should be described in no more than one page.*

C. *Outreach*

The purpose of this section is to document achievement in outreach scholarship. It is divided into two parts. Part 1 is a reflective commentary on the candidate's outreach program or programs. It is intended to highlight and explain the candidate's most significant contributions. Part 2 is a list of all of the candidate's outreach activities and products.

1. *Commentary. The commentary should describe and explain the scholarship involved in one or more outreach programs that you consider the major achievements of your efforts. A program is a set of activities that share a common focus and depend upon a particular expertise. The entire commentary is limited to five pages, single spaced. Each program should include the following.*

a. *Description. Provide a brief overview of the needs addressed, the objectives, methods, and target audience. Describe selected activities and/or products from Part B that are most illustrative of the candidate's contribution to this program. Include example in the portfolio.*

b. *Mission. Indicate how the program was compatible with university and unit missions.*

c. *Scholarship. Describe the role of the candidate's professional expertise in the design and execution of the program. Describe how the activities applied the candidate's discipline to the needs of society, required integration with other disciplines, and/or generated new knowledge for the discipline and/or audience. Explain how this knowledge was communicated to broader audiences. Indicate how the program led to increased recognition of the candidate's professional expertise by external audiences. Indicators would include requests for information, invitations to make presentations, service on review panels, receipt of contracts, grants, and professional awards, etc.*

d. *Impact. Describe observed impacts and/or explain any unobserved impacts that are to be expected according to the discipline(s) applied. Identify the direct and indirect beneficiaries. Evidence of impact can include both quantitative results (e.g. changes in test scores, increased crop production, or widespread adoption of a product or technique) and qualitative results (e.g. testimonials from clients, reviews by knowledgeable scholars/critics).*

2. *Activities and Products. List activities and products using the categories outlined below. There is no page limit on Part B, but candidates are encouraged to be concise in order to focus*

reviewers' attention on the most important contributions. In particular, numerous activities or products of the same type should be summarized to the extent possible. Brief descriptions accompanied by examples and totals will suffice. See the example of Professor X in [Appendix A](#).

- a. *Instructional activities.* List the title or subject of each distinct course or presentation, the type (curriculum, course, workshop, exhibit, etc.), the duration (usually in hours), the candidate's role in creating (developer, presenter), the target audience, the method of reaching the audience (conference presentation, telecommunications, site visit, etc.) and the number of presentations given.
- b. *Technical assistance.* List each type of assistance (e.g. job classification), the clientele, the contribution, and the number of times provided.
- c. *Outreach publications.* Distinguish by type as indicated in paragraphs B1-B3 above: books (including published manuals and reports), article-length publications, papers and lectures. Provide complete publication data, including number of pages, names of all authors in correct order, and percentage of candidate's contributions. Indicate all refereed or peer-reviewed publications.
- d. *Electronic products:* computer programs, web sites, etc.
- e. *Other outreach products:* videos, job aids, etc.
- f. *Copyrights, patents, and inventions.*
- g. *Contracts, grants, and gifts.*

D. Service

1. *University Service:* Distinguish among service to the University, to the college/school, and to the department. University service as part of a previously held position may be listed here. Administrative work which reduces the candidate's teaching or research assignment should be listed here.
2. *Professional Service:* Service to professional associations and learned societies such as offices held, committees served on, etc.

(3) Information to be Supplied by the Department Head/chair

Information should be supplied in each of the following areas:

A. Teaching

1. *Student evaluations. Include all student evaluations from one class per year for each of the three preceding years as follows: For each class include a copy of the questions asked, a summary indicating the spread of numerical responses to all questions, and all student comments in unedited form. If the University form is submitted, submit information on the required questions only and all student comments in unedited form. Indicate the grade distribution in each of these classes. If evaluations from more than three classes are available, the candidate should be consulted about which evaluations are to be included. The evaluations should reflect the candidate's teaching in the different kinds of courses he or she is assigned to teach. The evaluation results should be condensed into as few pages as possible.*

2. *Peer evaluations. Include peer evaluations for one class for each of the three preceding years. These should include assessment of syllabi, handouts, and exams, and assessment of the candidate's conduct of the class. Reports based on team teaching are an acceptable form of peer review.*

3. *Letters from thesis/dissertation students. Librarians and archivists may include letters from members of the academic community outside the library. Supporting letters in this category are optional. No more than three should be included.*

B. Research/Creative Work

1. *Statement as to how the level of support (dollars, personnel, space, reduced teaching loads, etc.) provided to the candidate compares to others engaged in similar work in the department.*

2. *Based on faculty input, an assessment of the quality of journals in which the candidates have published.*

C. Outreach

1. *A statement of how the candidate's outreach program*

a. serves the mission of an appropriate university unit (which information may be obtained from the sponsoring unit if it is not the candidate's own department), and

b. reflects scholarship (e.g. of application or integration) in the candidate's discipline. (See C1c above).

2. *Participant, client, or peer evaluations from outreach activities. These letters may be solicited by the candidate or the department head/chair.*

D. Service

1. *Letters invited by the candidate addressing his or her work on college and University committees.*

E. Confidential Letters from Outside Reviewers

The department head/chair (or the dean) shall solicit information from outside referees in the case of candidates nominated for full professor or librarian IV or archivist IV; he or she may do so in other cases. In consultation with the candidate and the faculty voting on the candidate the head/chair (or dean) shall compile a list of potential evaluators. He or she shall then seek responses from at least three of the potential evaluators. These evaluators shall be people outside of Auburn University who are nationally acknowledged experts in the candidate's field and can comment on the quality and reputation of the candidate's work. If the evaluator is from an academic institution, he or she shall be of higher academic rank than the candidate. Letters from the candidate's major professor for a graduate degree, from former graduate students, and from ongoing research partners are unacceptable. Evaluators may be associated with industry, government agencies, foundations, etc. If these letters arrive in time, they shall be made available to the voting faculty; otherwise, they shall be sent on to the Promotion and Tenure Committee. The letters from these outside referees shall remain confidential and shall not be made available to candidates at any time.

(4) Guidelines for External Evaluator Selection for Faculty Evaluation (Template)

Format for identifying potential evaluators of promotion and tenure candidates

<http://www.auburn.edu/academic/provost/guidelines.html>

(5) External Evaluation Sample Solicitation Letter (Template)

Example letter that contains needed to comply with promotion and tenure policy

<http://www.auburn.edu/academic/provost/guidelines.html>

D. Consideration of the Candidate

The candidate's dossier (consisting of the departmental guidelines, weights for each performance area, information supplied by the candidate and the information supplied by the department head/chair) and supporting material shall be available for review exclusively by faculty eligible to vote on the candidate. After the faculty has had time to review the dossier and supporting material, the department head/chair, as a non-voting participant, shall convene a meeting of all eligible faculty to discuss nomination of the candidate.

Confidentiality and the right of faculty members to express their viewpoints openly without fear of retaliation shall be the hallmarks of the discussion. Departmental deliberations shall be confidential to the extent permitted by law.

E. The Department's and Dean's Recommendation

After the candidate has made a presentation of his or her credentials if he or she so wishes, and after the faculty eligible to vote have had time to discuss the candidate's qualifications in a closed meeting, a secret ballot shall be taken at the meeting of eligible faculty to determine the final recommendation of the department faculty. Faculty members may participate in the promotion and/or tenure recommendation in one of the following ways:

- a. present and voting,
- b. present and abstaining,
- c. absent but submitting a written vote prior to the meeting, or
- d. absent and not voting (This response does not count as part of the total vote.).

The department head/chair, dean, and any other faculty member serving as an administrator who has an official vote on the candidate at a higher administrative level shall not vote at the departmental level. Faculty members who serve on committees at the school, college, or University level may choose to vote at the department level or at higher levels, but they may vote only once on candidates from their departments. Immediate family members shall excuse themselves from voting.

The department head/chair shall announce the vote at the meeting. The vote shall be transmitted itemized as a, b, c, and d as listed above in writing, first to the dean of the candidate's college or school and the College Committee, then to the Promotion and Tenure Committee along with the other information requested in this document.

The eligible department faculty who voted on a candidate's promotion and/or tenure will write a summary letter that reflects the vote and represents all aspects of the discussion leading to that vote. The department head/chair will also write an evaluative letter with a recommendation for or against promotion and/or tenure. In addition to these two required letters, individual faculty members may write letters explaining why they do or do not favor promotion and/or tenure. Where there are fewer than three faculty members in a department who are eligible to write letters of evaluation, the head/chair may ask for letters from faculty members in other departments who have knowledge of the candidate's professional performance. Letters should address the quality of research/creative work and the candidate's potential for continued work, teaching effectiveness, effectiveness in the area of extension, service contributions and, in tenure cases, potential to contribute as a productive and collegial member of the academic unit in all relevant areas. In the case of candidates for tenure-on-hire, letters from the candidate's current colleagues as well as from Auburn faculty members are strongly encouraged and should address these same issues.

Faculty should bear in mind that letters to the Promotion and Tenure Committee are an important source of information for the Committee. Letters can help the Committee to make an informed

judgment about the candidate's collegiality by addressing the candidate's performance of his or her duties within a department. Letters can also help the Committee, whose members may not come from the candidate's field, understand the significance of the candidate's work and make a fair appraisal of it. Faculty, department heads/chairs, and chairs should note that, unlike letters from outside reviewers that remain confidential, their letters will be made available to and may be rebutted by the candidate.

The department head/chair shall communicate the department's vote to the candidate and also make available to the candidate all letters submitted by the committee, the department head/chair, and individual faculty members. After reviewing the letters, the candidate has five working days to write a rebuttal if desired. The candidate can also make an informed decision about whether or not to continue with the process of seeking promotion and/or tenure. If the candidate wishes to continue the process despite a negative recommendation, the department head/chair and dean shall honor the candidate's request.

If there is a college committee, its members will review the dossier, letters, and the candidate's rebuttal (if submitted), and they will vote by secret ballot. The committee will write a summary letter that reflects the vote and represents all aspects of the discussion leading to that vote. The dean will also write an evaluative letter with a recommendation for or against promotion and/or tenure. The dean shall communicate the college/school committee vote and make available to the candidate the college/school's and dean's letters. After reviewing the letters, the candidate has five working days to write a rebuttal if desired.

F. Submission of the Candidate's Dossier

Colleges/schools will submit dossiers in PDF format to the Office of the Provost on a single data drive as outlined in the annual call for nominations for promotion and tenure materials.

Dossiers shall be evaluated by the candidate's dean/college committee before submission to the Promotion and Tenure Committee. Dossiers are to be collated as follows and separated with a title page for each section:

- 1. Standard biographical data sheet.*
- 2. Information supplied by the candidate.*
- 3. Information supplied by the department head/chair.*
- 4. Evaluations and recommendations from: the dean, the department head/chair, the director of any relevant funding source (e.g.: the Alabama Cooperative Extension System, the Alabama Agricultural Experiment Station, the Scott Ritchey Research Center, etc.), faculty members, and outside referees and the rebuttal letters from the candidate.*

G. Schedule

Nominations for promotion and tenure shall be transmitted to the Promotion and Tenure Committee. The specific date shall be announced in the annual call for nominations from the Provost. The candidate's dean and/or College Committee shall request material early enough to allow for recommendations from the faculty, the department head/chair and the dean and rebuttals from the candidate to be forwarded with the candidate's dossier.

H. University Level Review and Recommendation and Notification of the Candidate

The University Promotion and Tenure Committee shall review each candidate's dossier. Should additional material be needed, the committee shall contact the candidate's department head/chair or dean. The committee shall vote by secret ballot whether or not to recommend the candidate for promotion and/or tenure. Deliberations of the Committee shall remain confidential. The Committee shall send its recommendation along with the candidate's dossier to the President for final action. The President will meet with the Promotion and Tenure Committee whenever the recommendation of the Committee on a promotion and/or tenure decision is not accepted. The meeting will take place before the President announces the decision.

When the President approves a recommendation for promotion and/or tenure, the candidate shall be notified in writing by the President, with copies of the notification to the department head/chair, dean, and Provost. The candidate shall receive a copy of the Personnel Action Form authorizing the change in rank. When the President does not approve a candidate for tenure and/or promotion, the candidate shall be notified in writing by the Provost. If the decision is to deny tenure and/or promotion, a letter with the vote of the University Committee and the specific reasons for denial will automatically be sent to the candidate. If a candidate who was not denied so requests, he or she shall be informed of the numerical vote and provided with a written statement.

Copies of the notification shall also go to the department head/chair and dean. If the President overrules a recommendation, he or she shall inform the Promotion and Tenure Committee in writing within a month's time of the overruling and the reasons for it.

Candidates considered for tenure and promotion on the schedule noted above shall be notified of the decision no later than the end of spring semester. Candidates for rank and tenure-on-hire shall be notified in a timely manner. A list of newly promoted and tenured faculty shall be made public by the end of summer term.

If tenure is denied in the fifth year, the department head/chair may give the candidate a letter of noncontinuation. Should tenure not be granted during the sixth year, the head/chair shall give the candidate at least a twelve months' notice of noncontinuation. Such a candidate may be considered for tenure during the seventh year of full-time service, but this consideration does not invalidate the noncontinuation notice unless tenure is granted. In no case shall a candidate be considered for tenure by the Promotion and Tenure Committee more than two times.

A tenured faculty member who resigns and leaves the University and then is reemployed in a faculty position similar to the one previously held may have his or her tenure reinstated on the recommendation of the tenured faculty of the affected department and on the approval of the department head/chair, dean, Promotion and Tenure Committee, and the President. A tenured faculty member in a department at Auburn University at Montgomery who accepts a faculty appointment on the main campus may be awarded tenure at the time of appointment only through the normal tenure process.

6.6 Appeal of Promotion and Tenure Decisions

Grounds for appeal exist when, in the opinion of the candidate, one or more of the following occurred:

1. The denial of promotion or tenure resulted from the fact that all evidence in support of the candidate was not presented at the time of the original consideration.
2. The denial resulted from procedural irregularities concerning advisement and periodic review or a failure to follow promotion and tenure procedures of the department, college, school, or University.
3. The denial was based significantly on considerations violative of academic freedom.
4. The denial was based significantly on discrimination with respect to race, sex, religion, national origin, age, physical handicap, marital status, or sexual orientation.

A faculty member who contends unjust denial of promotion or tenure may choose to discuss the reasons for denial and the appeals process with the Provost. Appeals should be made in writing to the Provost through the department head/chair and dean within 14 calendar days of the date of the faculty member's receipt of written notification of denial. The written request should include any relevant new material (not included in the original dossier) for the appeals committee consideration.

If the faculty member bases his or her appeal on alleged violation of academic freedom or improper discrimination, the appeal must include a statement of the grounds on which the allegation is based and evidence to support his or her case. If the faculty member succeeds in establishing a *prima facie* case, it is incumbent upon those who made the decision against continuation to come forward with evidence in support of their decision. Statistical evidence of improper discrimination may be used in establishing a *prima facie* case.

The Provost shall respond promptly to the faculty member's request for an appeal by forming an Appeals Committee and setting the date, time, and place for the hearing of the appeal.

The Appeals Committee shall be comprised of the following:

1. One current member of the University Promotion and Tenure Committee, selected by the Promotion and Tenure Committee.
2. Five former members of the University Promotion and Tenure Committee who represent the colleges, but not departments, of the appealing candidates. If more than five members are needed to represent the appellants, more than five members will be chosen as needed. Each year the Senate Rules Committee will provide a list of recommended members for the appeals

committee based on the guidelines above; the Provost will choose that year's committee members from this list.

After the merit of the appeal has been judged, the recommendations of the Appeals Committee and all supporting documents shall be submitted to the President for final action.

In the appellate process, appeals must be taken and decisions rendered so as to prevent postponing a promotion or tenure decision to the next year.

Section 7

Evaluations and Reviews

(See Also Chapter 4, Section 2.5, "Evaluation of Teaching")

7.1 Performance Evaluation

All department heads/chairs and unit heads shall conduct at least one yearly review before April 30 with each faculty member to evaluate his or her performance and to discuss his or her future development. In order to review the faculty member fairly, the head/chair shall request a current vita and any supporting material the head/chair or the faculty member deems appropriate prior to the review. More frequent reviews may be conducted at the discretion of the faculty member or the department head/chair.

In the case of faculty members who have not achieved tenure or promotion to associate professor or professor, particular care shall be taken by the department head/chair to relate the faculty member's job performance to the promotion and tenure criteria set forth in this document and in applicable departmental guidelines that have been approved by the Provost Office. Significant achievements or deficiencies which might enhance or impede the candidate's progress toward higher academic rank or tenure shall be noted.

The unit head shall prepare a written report summarizing the major points of the conference. A copy of the report shall be provided to the faculty member within a month of the conference. If there are no objections, the faculty member shall be asked to sign it as confirmation of having seen it. If the faculty member does not agree with the material in the report, he or she may write a response to be appended to the report. A copy of the signed report and response, if there is one, is to be retained for the faculty member's departmental personnel file; another copy is to be given to the faculty member; a third copy is sent to the Office of the Provost. To the extent permitted by law, the report is to remain confidential, available only for the use of the concerned faculty member and any University officials who have supervisory power over the faculty member.

Each department shall conduct a third year review of all its probationary faculty members. This shall take place no later than 32 months after initial appointment, normally before April 30 of the faculty member's third year. The head/chair shall request a current vita and any supporting material the head/chair or the faculty member deems appropriate prior to the review. The particular focus of this review is the faculty member's progress toward achieving tenure. The review therefore must address the criteria for tenure set forth in this document. To be maximally useful to the candidate and the department, the review shall involve the entire tenured faculty. In order for it to accurately reveal the judgment of tenured faculty, it shall conclude with a vote on whether or not, in the judgment of the tenured faculty, the candidate is making appropriate progress toward tenure. The result of the vote shall be announced at the meeting. Faculty should understand that this vote is not a commitment to grant or deny tenure in the future.

The head/chair shall prepare a written report covering the findings of the review, and characterizing the nature of the vote. The procedure described above for the report on the yearly conference shall be followed, with the difference that this report may be consulted by the tenured faculty when the faculty member is a candidate for tenure; otherwise, the report is to remain confidential.

7.2 Annual Tenure Review Guidelines

All non-tenured, tenure track faculty should be reviewed annually for progress toward tenure status. This should be viewed as a process to recognize strengths and also identify areas for needed improvements. This process provides our non-tenured, tenure track faculty with timely feedback and enhances overall faculty retention.

All non-tenured, tenure track faculty will be reviewed by the tenured faculty of her/his academic unit each year relative to progression toward tenured status and that the assessment of that progress be reported to the non-tenured, tenure track faculty member annually. The mandated third-year review described within this Handbook will serve this purpose for non-tenured, tenure track faculty in their third year. Annual tenure reviews should be commenced in the Spring of 2003. The process should be conducted in concert with the currently mandated annual review. In implementing this process, department heads/chairs should design processes that provide for the following:

1. Dissemination of information (possibly an updated curriculum vita and attached biographical data form) to all tenured faculty.
2. Input from tenured faculty to department head/chair relative to adequate progression toward tenured status. This input should include issues of concern as well as recognition of accomplishments.
3. Communication by the department head/chair (as a part of the annual review process) to the non-tenured faculty member relative to adequate progression toward tenure. This communication should be a part of the written evaluation provided for in the annual review process and should include issues raised by the tenured faculty.

7.3 Post-Tenure Review Guidelines

The purpose of post-tenure review at Auburn University is to enhance public trust in the University by ensuring that the faculty holds itself accountable to high professional standards.

Provost's Policy for a Triggered PTR Mechanism Commencing in 2008

I. Purpose

This document, prepared by the Provost's Office after consultation with faculty leadership, outlines the post-tenure review policy to be used by the Office of the Provost beginning with the 2008-2009 academic year. Post-tenure review (PTR) is intended to support faculty development and productivity. It considers the professional quality with which faculty members discharge the academic duties associated with their positions. It does not consider whether the previously tenured faculty member would meet current standards for the awarding of tenure. The policy on post-tenure review is not a dismissal policy and should not be viewed as such; the University's Dismissal Policy appears in Chapter 3, Section 9.2 of this Handbook.

The purpose of post-tenure review at Auburn University is to enhance public trust in the University by ensuring that the faculty holds itself accountable to high professional standards. As chief academic officer of Auburn University, it is the responsibility of the provost—with advice from faculty leadership—to formulate, implement, enforce, and review and revise as needed the University's policy and procedures for post-tenure review. Post-tenure review is a natural extension of Auburn University's process of annual faculty evaluation as specified in this Handbook. PTR requires tenured faculty whose annual overall performance is found unacceptable *twice within any six- year period* to undergo more extensive review, prepare a written plan for performance improvement, implement this plan, and show progress in restoring performance to a satisfactory (or even exemplary) level.

II. Background

Post-tenure review policies have been adopted at many institutions of higher education across the USA in an effort to restore public trust in academics. The American Association for Higher Education has tracked the progress and results of PTR in a series of comprehensive reports (Licata & Morreale, 2002; Licata & Brown, 2004; Licata & Morreale, 2006), and the American Association of University Professors (1999) has provided helpful commentary on procedures for PTR. There are two primary mechanisms for PTR. *Universal* PTR reviews all tenured faculty members within the university across a set period of time. *Triggered* PTR, on the other hand, calls for more extensive review of *only* those tenured faculty members whose annual reviews document deficiencies that need to be addressed. Both systems can be effective, but triggered systems are far more efficient in terms of effort, time, and cost. In order for a triggered system to be effective, however, a university must already have implemented an effective annual review system for faculty, given that the annual review serves as the trigger mechanism for post-tenure review.

During the 2006-2007 academic year the provost of Auburn University implemented a universal PTR mechanism on a pilot basis. This decision was made because an audit of AU's existing faculty review system indicated that considerable improvement in the process of annual evaluation was necessary before AU could move to a triggered mechanism. In 2007 the provost mandated minimum standards for faculty evaluation in every department, and a second audit of the faculty annual review process showed considerable improvement in methods used across the University. Before the 2007- 2008 academic year the provost provided mandatory training for all department heads/chairs in how to conduct faculty annual reviews, but retained the universal PTR mechanism for one more year. Post-tenure review was carried out successfully in 2007-2008, but the universal mechanism proved to be cumbersome, time consuming, expensive, and inefficient. The clear improvement of the faculty annual review process now makes implementation of the more efficient trigger mechanism feasible at Auburn University. Thus the 2008-2009 PTR process will be one whereby more extensive review and planning is *triggered* by an overall unacceptable performance evaluation as documented during the faculty annual review process.

III. Faculty Annual Review

The faculty annual review process for Auburn University is described as follows in this Handbook: All department heads/chairs and unit heads shall conduct at least one yearly review before April 30 with each faculty member to evaluate his or her performance and to discuss his or her future development. In order to review the faculty member fairly, the head/chair shall request a current vita and any supporting material the head/chair or the faculty member deems appropriate prior to the review. More frequent reviews may be conducted at the discretion of the faculty member or the department head/chair. In the case of faculty members who have not achieved tenure or promotion to associate professor or professor, particular care shall be taken by the department head/chair to relate the faculty member's job performance to the promotion and tenure criteria set forth in this document. Significant achievements or deficiencies which might enhance or impede the candidate's progress toward higher academic rank or tenure shall be noted. The head/chair shall prepare a written report covering the major points of the conference. A copy of the report shall be provided to the faculty member within a month of the conference. The faculty member shall be asked to sign it as confirmation of having seen it. If the faculty member does not agree with material in the report, he or she may write a response to be appended to the report. One copy of the signed report and response, if there is one, is to be retained for the faculty member's departmental personnel file; another copy is to be given to the faculty member. This report is to remain confidential, available only for the use of the concerned faculty member and any University officials who have supervisory power over the faculty member.

The annual review process described above applies to all tenure-track faculty members at AU, including those who have already earned tenure, with the exception of faculty members holding full-time administrative assignments, who are evaluated using a different mechanism. It is an implicit assumption within this process that faculty members whose performance is found to be below expectations during the annual review will take the steps needed to restore performance to a satisfactory (or exemplary) level. The following are the minimum standards for

departmental/school/college faculty annual reviews (FAR). Each FAR must be typewritten and include:

- o The department head/chair's (or dean's) signature
- o The faculty member's signature
- o The nature of the faculty member's assignment, including the percentage of assignment devoted to teaching, research, outreach/extension, administration, and service
- o A clear indication of any change (including the percentage assignment) in the faculty member's assignment for the coming year
- o Coverage of university mission areas (teaching, research, outreach/extension) in alignment with the faculty member's individual assignment
- o An indication of the faculty member's performance in each of the university mission areas consistently using the following descriptors: "exemplary," "exceeds expectations," "meets expectations," "marginal," "unacceptable."
- o Qualitative evaluative comments, and
- o An indication of the faculty member's overall performance level using the following descriptors: "exemplary," "exceeds expectations," "meets expectations," "marginal," "unacceptable."

If the faculty annual review is to be used effectively as a trigger for post-tenure review, it is essential that faculty members know where they stand with respect to their performance. Overall "unacceptable" performance must clearly be specified as such on the faculty annual review form. It is the responsibility of every department head/chair/chair and dean to ensure that the annual faculty review is conducted properly in accordance with University policy and that any faculty member whose overall performance is judged "unacceptable" be clearly notified of such in writing on the evaluation form. The Office of the Provost will continue to audit all annual faculty reviews to make certain the minimum standards listed above are met consistently throughout the University.

IV. The Trigger Mechanism

An overall "unacceptable" annual evaluation will put the tenured faculty member on warning that the PTR process may be triggered by a *second* overall* "unacceptable" annual evaluation received during the *next five years*. (In other words, two overall unacceptable annual evaluations over a six year period will trigger PTR.) It shall be the department head/chair's responsibility, in consultation with the dean, to notify in writing, by May 15 of each year, the faculty member and the Office of the Provost whenever PTR is triggered by a second overall "unacceptable" evaluation during any six year period. Failure to provide this notification does not negate the requirement for PTR. * The overall score is to be determined by the composite of the weighted evaluations of the faculty member's workload assignments.

V. Commencement of the Policy

This policy becomes effective for the 2008-2009 academic year. Annual faculty evaluations conducted in Spring, 2008 (which considered the faculty member's work during calendar year 2007) are considered "year one" for the purpose of implementing this policy. Faculty whose performance was judged overall as "unacceptable" for calendar year 2007 are thus put on notice that a *second* overall evaluation of "unacceptable" occurring over the next five years (calendar years 2008-2012) will trigger PTR. Evaluations for years prior to 2007 are not to be considered under this triggering mechanism.

VI. Review of Tenured Faculty Holding Full-Time Administrative Posts

Faculty members holding full-time administrative assignments are to be evaluated by their administrative supervisors. They serve in their administrative posts at the pleasure of the University. They are exempt from PTR as faculty *while serving as full-time administrators*. However, any tenured faculty member whose administrative term expires becomes subject to the PTR triggering mechanism described in Section IV above.

VII. Review Criteria

The review assesses the quantity and quality of the faculty member's work over the preceding six years with respect to her or his assigned duties in terms of teaching, research, outreach/extension, and professional and university service. These criteria are stated in general terms as the basis of an overall policy applicable to a wide range of academic disciplines. The criteria are flexible to accommodate differing expectations in different disciplines and changing assignments at different stages of faculty careers. The criteria for appraisal should reflect the overall mission of the unit or department and be sufficiently flexible to accommodate faculty with differing responsibilities who contribute to the mission of Auburn University in varied ways. The criteria shall be applied in a manner that respects and safeguards first-amendment rights and academic freedom, and that produces a fair result. The application of the criteria shall not be biased by consideration of the faculty member's race, sex, religion, national origin, age, physical handicap, marital status, or sexual orientation.

VIII. Materials to be Reviewed

Once a faculty member has been identified for post-tenure review as described in Section IV—and the Office of the Provost and the faculty member have been notified by the faculty member's dean and department head/chair—the Office of the Provost will send instructions to the faculty member, department head/chair, and dean regarding how to prepare the faculty member's PTR packet. The faculty member and department head/chair are to prepare materials for review following these instructions, then submit them to the Office of the Provost through the Office of the Dean. The dean has the right and responsibility to review the packet before it is submitted to the Office of the Provost, and to comment on the packet as desired. The materials for review include:

1. Annual reviews by the department head/chair (or dean if the school has no departments) for the previous six years. (*Note that, for confidentiality purposes, these reviews will be retained in the Office of the Provost and will not be shared with anyone who is not in a direct line of administrative authority over the faculty member.*)

2. A current, comprehensive *curriculum vitae*.
3. A summary of accomplishments and plans during the faculty member's past six years at Auburn University, prepared by the faculty member, not to exceed two pages in length.
4. A letter of evaluation, not to exceed two pages, to the provost from the department head/chair through the dean (or from the dean if a school has no departments), that describes the duties assigned to the faculty member during the review period and assesses the satisfactoriness of the faculty member's overall performance of the assigned work. The department head/chair is expected to consider the viewpoints of all tenured faculty in the department while preparing this letter. The procedure for doing so is described below in Section IX.
5. If the faculty member wishes to waive his or her rights of confidentiality, copies of the faculty member's annual reviews for the previous six years may also be included in the materials submitted for review.

Advice from Tenured Faculty

Prior to preparation of the department head/chair's letter (mentioned in Section VIII, item 4), the department head/chair is to make available to all tenured faculty within the department for their review (a) the *curriculum vitae* and (b) the summary of accomplishments and plans prepared by the faculty member. The tenured faculties are to inspect these documents and vote (by secret ballot: yes, no, abstain) whether or not the faculty member under review is **discharging satisfactorily the academic duties associated with his or her position**. The faculty member under review is to be informed of the results of the vote. The results of the vote—including the actual numerical vote— shall be included in the department head/chair's letter.

University PTR Committee

The university-wide Post-Tenure Review Committee shall consist of at least six tenured faculty members from representative schools and colleges plus the provost, who shall serve as chair. The president will appoint the members of the Post-Tenure Review Committee following the same process and with all the restrictions that currently apply to the selection of candidates for the University Promotion and Tenure Committee. All deliberations of the University PTR Committee are to remain confidential.

Outcomes

1. The University PTR Committee, chaired by the provost, shall provide the faculty member with a concise written summary of its review and a conclusion as to whether the faculty member's performance is deemed satisfactory. This summary is also to be provided to the dean and department head/chair. The faculty member shall have the opportunity to appeal this decision using the appeals process described in Section XII.
2. A faculty member whose performance the review committee assesses to be unsatisfactory will undertake a development plan to be prepared jointly by the faculty member and academic unit administrator and approved by the dean and provost. The development plan will outline what is needed to move the faculty member to a higher level of performance. It must have specific,

measurable goals that can reasonably be attained during a twelve-month period. Progress on all plans will be reviewed and assessed after twelve months using the procedure described in item 3 below. The nature and source of any resources needed to accomplish the plan must be spelled out in writing.

3. At the conclusion of the twelve-month development period, the faculty member will prepare a report summarizing his/her progress on achieving the goals specified in the development plan. This report shall be forwarded to the provost through the department head/chair and dean, who will jointly review the faculty member's progress and prepare a report that is also submitted to the provost. Faculty members who are judged not to have demonstrated progress after completing a development plan will be notified and given an opportunity to respond to the provost before the imposition of further sanctions. The provost's decision can be appealed using the process described in Section XII. If the provost (or president through the appeal process) decides that sufficient progress has been made, the faculty member shall be deemed to have completed the post-tenure review process. The faculty member would be reviewed annually (along with other faculty) using the process described in Section III above. Further PTR shall not be required unless triggered by two subsequent overall "unacceptable" evaluations on annual reviews during another six-year period.

4. Sanctions for failure to meet the goals specified in the development plan may include— but are not limited to—a letter of notice to the faculty member, withholding of merit- based salary increases, reassignment of duties, and loss of eligibility for such privileges as travel funds, summer appointments, internal grants, and professional improvement leave.

XII. Appeals Procedure

There are two points in this process where decisions made by the provost can be appealed: (1) The PTR committee's decision regarding unsatisfactory performance (step 1 in Section XI) and (2) the provost's decision that the faculty member has not satisfactorily completed the development plan (step in Section XI). In both cases the faculty member may appeal the decision in writing within ten working days of receipt of the provost's decision. The appeal process will parallel the process used in cases of promotion and tenure appeals. The appeal will be made in writing to the PTR Appeals Committee, which consists of the PTR Committee plus two additional members as selected by the Rules Committee. The PTR Appeals Committee shall have ten working days to respond to the faculty member's appeal and has the right to request and consider additional information beyond that listed in Section VIII if the committee believes such information is valuable for evaluating the appeal. The PTR Appeals Committee will make a recommendation regarding the appeal to the president for consideration. The president will render a decision within ten working days and that decision shall be final.

References

- American Association of University Professors. (1999). *Post-tenure review: An AAUP response*. (This report can be found on pages 60-66 of *AAUP Policy Documents & Reports, 10th ed.* Washington, DC: American Association of University Professors, 2006.)
- Licata, Christine M., & Joseph C. Morreale (Eds.), *Post-tenure faculty review and renewal: Experienced voices*. Washington, DC: American Association for Higher Education, 2002.

Licata, Christine M., & Betsy E. Brown (Eds.), *Post-tenure faculty review and renewal II: Reporting results and sharing policy*. Boston, MA: AAHE/Anker Publishing, 2004.

Licata, Christine M., & Joseph C. Morreale (Eds.), *Post-tenure faculty review and renewal III: Outcomes and impact*. Boston, MA: AAHE/Anker Publishing, 2006.

7.4 Provost's Administrative Review Guidelines

Requirement for deans and departmental leaders (e.g., chairs, heads, program chairs and assistant department chairs) to undergo periodic comprehensive reviews with feedback from faculty, students, staff and other administrators

http://www.auburn.edu/academic/provost/pdf/Administrative%20Review%20Guidelines_final.pdf

Section 8 Faculty Development

8.1 Professional Improvement Leave

A Professional Improvement Leave may be awarded for faculty development. One semester of leave with pay may be requested for each four years of full-time service (see details in Chapter 8). Applications for Professional Improvement Leave shall be made through department heads/chairs and deans. These academic administrators shall be asked to provide additional information, and all applications must have their support. A written copy of the action taken by these administrators, with the additional information, shall be supplied to the applicant. The purpose of the leave should be consistent with departmental missions and goals. The application form, faculty vita, prospectus detailing the nature of the study, and other supporting documents should be forwarded to the Provost at least one semester in advance of the requested leave.

A. Without Pay

Leave without pay may be granted for appropriate professional improvement activities. Such leave is approved for a maximum of one year and generally may not be extended for more than one additional year. Faculty members on leave without pay have no formal obligation to return to Auburn, but are expected to give adequate notice (generally at least six months) if they decide not to return. On formal request by the faculty member, the University will continue in force group life and health care insurance programs, making the institution's regular contributions. However, in cases where the professional improvement leave takes the form of employment with a government agency or with a firm or business relevant to the faculty member's field of

specialization, such University benefits will not be available if these fringe benefits are provided by the temporary employer. If the faculty member does not return to Auburn University for at least one academic year after such leave, the University must be reimbursed for its contributions to the person's life and health programs. A minimum period of five years of University full-time service must be completed by faculty in non tenure track positions before they become eligible for professional improvement leave.

Application for professional improvement leave without pay should be submitted through the department head/chair or unit head, dean, and Provost.

B. With Pay

In the interest of facilitating the improvement of the qualities of faculty which relate to teaching, research, and outreach, the University grants leave with pay for approved professional enrichment activities. The University recognizes the importance of activities which provide an opportunity for professional renewal and growth. Additionally, the University recognizes that an enriched faculty member can dramatically improve both the quality of research and the quality of the educational experience for undergraduate and graduate students taught or mentored by faculty. This paid professional improvement leave is awarded based on merit through an application process. To ensure maximum flexibility in improving and enriching the capabilities of faculty members from diverse backgrounds, no restrictions are placed on where the development activity occurs or the type of improvement activity which is to be pursued provided that the activity is approved through the application process. The following guidelines apply to paid professional improvement leaves:

A tenured faculty member is eligible for a professional improvement leave after six calendar years of full-time employment. He or she may be granted one semester at full salary or two semesters at half salary. In order to facilitate such leaves, department heads/chairs should arrange teaching loads and course offerings in such a way as to minimize the need for additional funding to the department. The University recognizes that departments in which faculty do not have research appointments will need extra help in providing such leaves.

The application must be accompanied by a proposed program which gives reasonable promise of contributing to the improvement of the applicant's professional services to Auburn University. A fall deadline for applications for leave for the following academic year will be announced by the Office of the Provost. Application should be submitted through the department head/chair and the dean to the Office of the Provost. Professional improvement leaves are competitively awarded. Preference will be given to proposals of faculty who have a proven record of success in research, teaching, and/ or outreach.

A faculty member granted professional improvement leave must serve as a member of the Auburn faculty for one year after taking leave. If he or she does not do this, he or she must reimburse the University for the paid leave time. A faculty member granted professional improvement leave with pay must submit a written report of his or her activities and accomplishments to his or her dean and to the Provost by the end of the first semester after returning to campus. A faculty member on leave with compensation may receive fellowship

support or part-time teaching or research appointments which do not interfere with their programs.

Professional improvement leaves granted to the outgoing Chair and Secretary of the Auburn University Senate are not covered by the provisions of this program.

C. Professional Improvement Leave for Members of the Aces

Faculty members, tenure-track and nontenure-track, of the Alabama Cooperative Extension System (ACES) will accrue 20 days (official work days) of professional improvement leave for each year of employment. The maximum number of professional improvement leave days a faculty member may accumulate is 120 days. For additional information, interested faculty should consult the ACES publication, Guidelines for Staff Development Handbook

Section 9 Termination of Faculty Appointments

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.)

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.

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.

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 10

Retirement

10.1 Retired Faculty

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/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.

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/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.

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.

Chapter 4. Instruction	
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	8.3 Graduate School Policies

Introduction: Policy on Quality Instruction

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

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

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

Section 1

Faculty Teaching Assignments

1.1 Teaching Loads

The University recognizes the impossibility of creating a "teaching load" formula that would be applicable to the complex academic programs embraced by the various colleges, schools and departments. Considerable flexibility is given to the individual department head, in consultation with the dean, in assigning faculty workloads to meet the department's instructional, research, and public service commitments. Faculty workloads are regularly reported to the Provost and are utilized by the Central Administration of the University in budgetary management of the academic program.

Although there is no set teaching load formula at the University level, normally every attempt is made to give appropriate reduction in the classroom assignments of those faculty significantly engaged in research, graduate teaching, the direction of graduate student theses, or University service. Such reduction should be applied equitably to all eligible faculty. However, the University believes it is important that senior faculty who have distinguished themselves through research and publication be directly involved in undergraduate teaching.

1.2 Minimum Class Size Guidelines

Number of graduate/undergraduate registrants needed to offer a course with dean approval

http://www.auburn.edu/academic/provost/policies/Minimum_Class_Size_Guidelines.html

Section 2

Expectations for Faculty

2.1 Responsibilities of Faculty Members Conducting Classes

Auburn University recognizes that the classroom experience represents something of a partnership between student and professor. For the partnership to be successful, each has a right to expect certain things of the other: just as the professor may expect students to meet their responsibilities which he or she has made explicit on such matters as instructional objectives and evaluation procedures, so the student should expect the professor to meet his or her obligations also. The University believes that each faculty member in conducting classes should exhibit high standards of professional behavior through his/her scholarship, personal integrity, and enthusiasm for the profession of teaching.

More specifically, each professor has a responsibility to himself or herself and to his or her students:

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

2.2 Textbooks and Instructional Materials

Textbook orders for each instructional semester are placed with the Auburn University Bookstore and the private book stores in the city of Auburn through a University-wide system. Individual faculty orders are secured at the departmental level (on a specially prepared adoption form) and sent directly to local bookstores. Faculty are asked to cooperate fully in placing their orders well in advance and to utilize the University system, which is devised to ensure that textbooks will be available to students at all book stores and that instruction will not be impeded during the early part of the semester because texts are not available.

Faculty involvement in the writing or editing of textbooks published and marketed through national or regional publishing houses is regarded by the University as a legitimate and praiseworthy form of scholarly activity. At times, however, faculty members may wish to develop instructional materials for local use in their own classrooms. These nontraditional, duplicated packets or booklets of materials may be used supplementary to or in place of traditional textbooks.

The Auburn University Bookstore, working directly with the faculty member, obtains copyright clearance for duplication of all requested materials in advance of distribution. The AU Bookstore

then reproduces, binds, and distributes the instructional material at cost plus overhead with no profit or revenue accruing to either the department or the faculty member. This system ensures that Auburn University and Auburn University faculty are not illegally using copyrighted material and exposing the University to liability and embarrassment. University endorsement has also been given to a procedure whereby individual faculty members, with the approval of their department heads/chairs, may arrange to have manuscripts for classroom use printed (only after obtaining copyright clearance) and sold by commercial duplicating services exterior to the campus.

Faculty shall refrain from selling textbooks or instructional materials directly to the students. Such practices are questionable financially and ethically.

Selection and production of instructional materials by faculty is essential to providing quality instruction. The freedom to choose instructional materials is central to the principle of academic freedom. Auburn University encourages faculty to publish instructional materials through reputable publishers that are marketed and used nationally. If such materials produced by a faculty member are appropriate for use in the faculty member's classes and if the sale of such materials produces financial gain for the faculty member or his immediate family, faculty may (a) assign the material and choose not to accept financial gain that might result from royalties or other income generated by the sale of such materials by students enrolled in the faculty member's class, or (b) turn the decision for selecting teaching materials over to an alternate responsible entity (e.g. a department chair or a departmental committee) qualified to determine if the materials are appropriate. Each department will develop a methodology for identifying the alternate responsible entity.

The production of instructional materials such as workbooks, answer sheets, or custom texts intended for use either exclusively or primarily at Auburn University shall be considered part of the faculty member's assigned duties. It is expected that such shall be provided to the student at departmental or university expense, or at most, the cost of reproduction through a commercial reproducer.

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

2.3 Academic Contingency Policies

Provisions for individual faculty, departments and colleges to maintain the instructional mission of the university in response to faculty absence and other emergencies

<https://sites.auburn.edu/admin/universitypolicies/Policies/AcademicContingencyPolicies.pdf>

2.4 Retention of Exams by Faculty

Final examinations or similar evaluative material that has not been returned by faculty members should be retained by faculty members until the first day of the third semester after the final grade has been assigned.

2.5 Evaluation of Teaching

(See Also Chapter 3, Section 7, “Evaluations and Reviews”)

The University views the evaluation of teaching as an on-going process which relies on multiple assessment measures, including, at a minimum, both peer evaluations and data from student ratings of teaching effectiveness, gathered by means of the University’s standard survey instrument or an equivalent survey instrument. This policy mandates the collection of student-generated data on a regular basis, but these data are not to be used as the only mechanism to rank-order faculty, the data must not supplant other ongoing methods of teaching evaluation, and the data should be only one of several forms of teaching information gathered on a regular basis to assess teaching effectiveness.

The purposes of gathering student evaluations are

- To assist individual instructors in improving their own teaching.
- To assist academic administrators in counseling instructors about their teaching.
- To assist faculty in reviewing the overall educational value and effectiveness of the course.
- To provide input in judging the teaching component in tenure, promotion and salary determinations.

Every course must undergo student evaluation of instruction each time it is offered. Courses with less than five students enrolled are exempt. Courses of an individual nature (e.g., independent study courses, thesis, special projects, music studios, etc.) may be exempted from this requirement at the discretion of the Department/College. Student participation is mandatory.

Administrative procedures for the survey are explicit and uniform. Surveys are to be administered anonymously, using the University instrument or an equivalent instrument. Colleges/schools, departments, and faculty members may use additional evaluation materials in

addition to, or in lieu of, the University's survey but must collect anonymous free-response comments from students.

University-sponsored survey instruments used to collect student evaluations of teaching effectiveness should have 8-10 questions, with at least one free-response question, and may have no more than 15 questions. The Teaching Effectiveness Committee of the University Senate will provide 8-10 broadly applicable survey questions for general use. Colleges and Departments, in consultation with representative faculty, may change this survey instrument as needed and are responsible for determining the reporting of relevant results.

Results of student evaluations may not be disclosed to faculty members before graduation for the semester. Faculty members may not contact individual students at any time to discuss survey responses or comments.

The instructor and relevant Department Chairs, or others so designated by the department (e.g., Course Coordinators), will receive the results of the evaluation after graduation that semester. These results will include any free-response comments received from the students by means of the survey instrument. Further administrative procedures related to the collection and processing of completed survey forms may be announced from time to time by the Provost's Office.

Data drawn from student evaluations along with other assessments of teaching will be used in the yearly review of each faculty member by his or her department head/chair, in the third year review by the department, and in review for promotion or tenure by the department, and by the school/college and University-level promotion and tenure committees. In addition, at least annually the academic dean and the Provost receive summary student teaching evaluation data about each department without identifying faculty information.

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

Peer evaluations, mandated by the Board of Trustees, may be achieved in a variety of ways. Faculty members and/or departments should develop an appropriate peer evaluation strategy or strategies. Evaluation by professional colleagues might include the following:

1. Evaluation of the faculty member's syllabi, tests, handouts, and other materials used in class.
2. Evaluation of the faculty member's preparation of students for subsequent courses in the field.
3. Evaluation of the faculty member's work in a team teaching situation by his or her partner.
4. Comparison of the faculty member's work with that of others teaching the same course.
5. Observation of the faculty member's classes.

6. Evaluation of a portfolio developed by the faculty member in which he or she presents him or herself as a teacher. The portfolio might include a general statement on teaching philosophy; syllabi with detailed information on course content and objectives, teaching methods, reading and homework assignments, and student evaluation procedures; materials that show the extent of student learning, such as scores on standardized tests taken before and after the course, term papers and laboratory manuals, and work from the best and poorest students; a list of courses taught with enrollment and grade distributions; etc.

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

2.6 Academic Regulations

Faculty members are expected to know and observe the University's academic regulations. The publication, the Student Policy eHandbook, elaborates on many of these regulations.

Section 3 Expectations for Students

3.1 Policy on Class Attendance

Students are expected to attend all their scheduled classes. College work requires regular class attendance as well as careful preparation. Specific policies regarding class attendance are the prerogative of individual faculty members. Faculty shall inform each class in writing at the beginning of the course regarding the effect of absences on the determination of grades.

The student is expected to carry out all assigned work and to take examinations at the class period designated by the instructor. Failure to carry out these assignments or to take examinations at the designated times may result in an appropriate reduction in grade, except as provided in paragraph 4 below.

Instructors shall determine the policy regarding grading which they feel is best for the course. This policy shall be presented to the class, in writing, at the beginning of the term and will govern the actions of the instructor in the course.

Arrangement to make up missed major examinations (e.g. hour exams, midterm exams) due to properly authorized excused absences (as defined by the Student Policy eHandbook) shall be initiated by the student within one week from the end of the period of the excused absence. Normally, a make-up exam shall occur within two weeks from the time that the student initiates arrangements for it. Instructors are encouraged to refrain from giving make-up examinations during the last three days prior to the first day of final examinations. The format of make-up exams and opportunities for students to make up work other than major examinations are at the discretion of the instructor whose make-up policies should be stated in writing at the beginning of the term. Instructors are expected to excuse absences for:

1. Illness of the student or serious illness of a member of the student's immediate family. The instructor may request appropriate verification.
2. The death of a member of the student's immediate family. The instructor may request appropriate verification.
3. Trips for members of the student organizations sponsored by an academic unit, trips for university classes, and trips for participation in intercollegiate athletic events. When feasible, the student must notify the instructor prior to such absences, but in no case more than one week after the absence. Instructors may request formal notification from appropriate university personnel to document the student's participation in such trips.
4. Religious holidays. Students are responsible for notifying the instructor in writing of anticipated absences due to their observance of such holidays.
5. Subpoena for court appearance.
6. Any other reason the instructor deems appropriate.

Additional Class Attendance Stipulations

- If the instructor does not appear within 20 minutes after the designated class hour, it may be assumed the class is canceled.
- It is university policy that all classes will meet as scheduled on the last day before and the first day after holiday periods designated by the university.
- Unresolved problems regarding class attendance or procedures should be referred to the University Student Academic Grievance Committee.

3.2 Policy on Classroom Behavior

Introduction

1. The goal of Auburn University and its faculty and students is to foster a dynamic environment of higher learning where all students develop analytical skills, learn to think critically and communicate effectively, promote inquiry, pursue knowledge, and prepare for productive careers. Behavior in the classroom that impedes teaching and learning and creates obstacles to this goal is considered disruptive and therefore subject to sanctions. The purpose of these sanctions is to create and protect an optimum learning experience; they should not be considered punitive, neither by the student nor by the instructor. Disagreement expressed in a civil fashion, eccentricity, idiosyncrasy, and unconventional behavior are not, per se, disruptive to the classroom experience. These sanctions are intended only to preserve the classroom as a place to pursue knowledge, exchange ideas, and share opinions in an atmosphere of tolerance. Students have the responsibility of complying with behavioral standards. Faculty members have a professional responsibility to set reasonable limits on the expression of opinions while treating students with dignity, respect, and understanding while guiding classroom activities. At the classroom level, clear guidelines for behavior and early intervention are the foundation for an intellectually stimulating experience for students and instructors alike. Instructors are encouraged to include in their syllabi guidelines for classroom behavior. Instructors who state these guidelines early and enforce them at the first appearance of disruptive behavior prevent minor episodes of classroom misconduct from escalating into serious confrontations and help transgressors to avoid the more serious consequences of such actions. Examples of improper behavior in the classroom (including the virtual classroom of e-mail, chat rooms, telephony, and web activities associated with courses) may include, but are not limited to, the following:

- 1.1. Arriving after a class has begun;
- 1.2. Use of tobacco products;
- 1.3. Monopolizing discussion;
- 1.4. Persistent speaking out of turn;
- 1.5. Distractive talking, including cell phone usage;
- 1.6. Audio or video recording of classroom activities or the use of electronic devices without the permission of the instructor;
- 1.7. Refusal to comply with reasonable instructor directions;

1.8. Employing insulting language or gestures; and

1.9. Verbal, psychological, or physical threats, harassment, and physical violence.

Policy

2. When confronted with disruptive, but non-threatening behavior, the instructor should issue a general word of caution to the class as a whole rather than to a particular student so as not to exacerbate the problem.

2.1. If a general caution directed to the entire class does not stop the disruptive activity, the instructor should endeavor to meet in private with the disruptive student. The resulting discussion should include a description of the problem, the reason it is disruptive, and the consequences of continued violations of classroom behavior guidelines.

2.2. If the disruptive behavior is preventing further instruction, the instructor is authorized to ask the disruptive student to leave the class immediately for the remainder of the class session. Removal from the classroom more than one class period, for an extended period, or on a permanent basis normally requires the instructor to file charges of a violation of the Auburn University Discipline Code with the Vice President for Student Affairs. The department head/chair or dean may negotiate a withdrawal from the course or a transfer of the disruptive student to a different course section or course, if, in his or her opinion, a different instructor and different classmates would diffuse the situation and provide the disruptive student with a new learning opportunity.

2.3. If threats have been made or physical violence is imminent, the instructor should notify the Auburn University Department of Public Safety immediately. The instructor should also notify the course department head/chair or dean promptly, followed by a memo to the department head/chair or dean.

3.3 Code of Student Discipline

Conduct expected of students; procedures for filing and processing alleged violations of the Discipline Code; hearings; sanctions that may be imposed; rights of those accused and those charging a violation

<https://sites.auburn.edu/admin/universitypolicies/Policies/CodeofStudentDiscipline.pdf>

3.4 Policy on Campus Speech and Demonstration

Regulations controlling time, place and manner of public speeches and demonstrations on campus; procedures for approvals and scheduling

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonCampusSpeechandDemonstrations.pdf>

Section 4

Examinations

4.1 Policy on Undergraduate Examinations

Examinations are classified as (1) final examinations at the end of each term; (2) special examinations; and (3) other course examinations as determined by the instructor.

Announced tests in undergraduate courses will be administered at a regularly scheduled meeting of the course. Exceptions to this regulation may arise in specialized courses requiring performance or oral tests, and in multiple-sectioned laboratory classes requiring practical laboratory tests. Faculty having sound reasons for scheduling tests at times other than regularly scheduled meeting times are to obtain approval from the department head/chair prior to the beginning of the term, and are to present a written schedule of these changes to the class during the first few days of the term. Rescheduled tests are not to interfere with other scheduled academic endeavors of the students involved, and an appropriate reduction in regularly scheduled class time is to be given to compensate for the rescheduled test period.

Final Examinations

A final examination is a desirable means of evaluation in most undergraduate courses. In unusual circumstances, performance tests, term papers, research projects or other forms of evaluation appropriate to the objectives of the course may be substituted for a final examination with the approval of the department head/chair, who will report such action to the dean and provost. Faculty who are not giving a final examination are to present to the class at the beginning of the term a written description of the forms of evaluation to be used and the means of determining final grades. The professor teaching a 6000-level course or higher shall determine whether a formal final examination is appropriate.

Final examinations are to be given as scheduled in the term examination schedule. Exceptions to this policy require prior approval by the provost. Rescheduled examinations must not interfere with scheduled academic activities of the students involved.

4.2 Policy on Number of Final Exams in One Day

Procedures for students to exercise their conditional right to take no more than two final exams in a single calendar day

<https://sites.auburn.edu/admin/universitypolicies/Policies/Policy%20on%20Number%20of%20Final%20Exams%20in%20One%20Day.pdf>

4.3 Retention of Exams by Faculty

Final examinations or similar evaluative material that has not been returned by faculty members should be retained by faculty members until the first day of the third semester after the final grade has been assigned.

Section 5 Grading

5.1 University Grade System

Final grades that may be assigned by faculty to indicate passing, failing, withdrawal and incomplete; calculating a GPA; the S/U Grading Option, Grade Adjustment Policy (GAP) and other grade-related policies

http://www.auburn.edu/academic/provost/undergrad_studies/uuac/advising_manual/university%20grade%20system.html#gradedef

5.2 Grade Submission Policy

Submission of grades by faculty and staff at the end of each term; availability to students

<https://sites.auburn.edu/admin/universitypolicies/Policies/GradeSubmissionPolicy.pdf>

5.3 Posting Grades

Grades on examinations or in courses may not be publicly posted using students' names or social security numbers. If a faculty member wishes to post grades, he or she must do so in such a manner that no student can be personally identified by others.

5.4 Faculty Policy on Assigning Grades of Incomplete

Procedures for faculty to process student requests for an Incomplete (grade of IN) and to change an IN to another grade; responsibilities of students and of faculty

<https://sites.auburn.edu/admin/universitypolicies/Policies/FacultyPolicyonAssigningGradesofIncomplete.pdf>

5.5 Faculty Policy on Grade Changes

Limitations on the time and circumstances for changing final grades

<https://sites.auburn.edu/admin/universitypolicies/Policies/FacultyPolicyonGradeChanges.pdf>

Section 6 Academic Honesty

6.1 Academic Honesty Code (Title XII)

CHAPTER 1200 Definition

1200 This act shall be known as the Student Academic Honesty Code. The Student Academic Honesty Code applies to all students at Auburn University. Students in either the College of Veterinary Medicine or the School of Pharmacy, while taking classes in these schools, shall be subject to honesty codes published and distributed within each school. The following regulations are designed to support the interests of Auburn University, its students and faculty, in maintaining the honesty and integrity essential to and inherent in an academic institution.

CHAPTER 1201 Violations

1201 Violations of the Student Academic Honesty Code are:

1. The possession, receipt, or use of any material or assistance not authorized in the preparation of any essay, laboratory report, examination, or class assignment, to be submitted for credit as a part of a course or to be submitted in fulfillment of a university requirement. The possession, receipt, or use of unauthorized material while an exam or quiz is in progress, or cheating, will be a violation of the Code;
2. Knowingly giving assistance to another person in such preparation;

3. Selling, giving, lending, or otherwise furnishing to any other person any material which can be shown to contain the questions or answers to any examination scheduled to be given at some subsequent date in any course of study, excluding questions and answers from tests previously administered and returned to a student by the instructor;
4. The submission of themes, essays, term papers, design projects, theses and dissertations, similar requirements or parts thereof that are not the work of the student submitting them. In the case of a graduate thesis or dissertation, submission is defined as the time at which the first complete draft of such is submitted to the major professor for review. When direct quotations are used, they must be indicated, and when the ideas of another are incorporated into a paper, they must be appropriately acknowledged. Plagiarism is a violation. In starkest terms, plagiarism is stealing using the words or ideas of another as if they were one's own. For example, if another person's complete sentence, syntax, key words, or the specific or unique ideas and information are used, one must give that person credit through proper documentation or recognition, as through the use of footnotes;
5. Altering or attempting to alter an assigned grade on any official Auburn University record. This violation may also be subject to review and action by the University Discipline Committee;
6. An instructor may delineate in advance and in writing other actions he or she considers a violation of the Code. For example, the teacher may consider dishonest or unethical the submission of papers substantially the same in content for credit in more than one course, unless specific permission has been given in advance. Actions so delineated must be reasonable and in the spirit of the Student Academic Honesty Code.
7. Altering or misusing a document (e.g., university forms, infirmity or doctor's excuse) for academic purposes. Associated violations may be referred by the Associate Provost for additional review and action by the University Discipline Committee.
8. Knowingly submitting a paper, report, examination, or any class assignment which has been altered or corrected, in part or in whole, for reevaluation or re-grading without the consent of the instructor.
9. Serving as or enlisting the assistance of another as a substitute in the taking of examinations.

CHAPTER 1202 Sanctions

1202The following sanctions may be imposed for violation of the Student Academic Honesty Code by the Provost upon recommendation of the Academic Honesty Committee:

1. A grade of F in the course in which the violation occurs, with the notation "assigned for academic dishonesty" being placed on the transcript for a designated length of time, and the grade of F being reported to both the dean of the college or school in which the student is registered and the Office of the Provost;

2. A zero grade on the examination, project, paper, etc. with written notification to the dean of the college or school in which the student is registered;
3. Suspension from Auburn University for a stated period of time during which the student will not be allowed to take any courses at Auburn University. Auburn University will not accept any credit for work earned at another institution during suspension. If the student has previously been subjected to sanctions for violations of the student academic honesty code, the minimum sanction will be suspension.
4. Expulsion from Auburn University.

CHAPTER 1203 Rights and Responsibilities of the Student

1203.1 The student has the right to request a meeting at which any charges of academic dishonesty can be discussed and resolved with the instructor of the course in which the alleged violation occurs and a faculty member of the Academic Honesty Committee who shall serve as a Facilitator. The student will be notified of his or her right to request a meeting within fifteen (15) class days of the detection of the alleged violation. The student will have five (5) class days after notification of the violation to indicate his or her intention to attend a Facilitated Meeting. In order for a Facilitated Meeting to occur, the instructor of the course in question must also request to engage in the Facilitated Meeting.

1203.2 A student has the right to a Hearing for any charge of academic dishonesty. A student may request to forgo the Facilitated Meeting and attend a Hearing of the Academic Honesty Committee. A student may also attend a Hearing of the Committee if no agreement on a sanction can be reached during a Facilitated Meeting. If a student desires a Hearing, his/her written request must be delivered to the Office of the Provost within five (5) class days after receipt of the Provost's notification of the charge and the right to a Hearing. Otherwise, the right of the student to be heard will be waived.

1203.3 The notation "assigned for academic dishonesty" will remain on the student's transcript for no less than two academic semesters in residence. Suspension for academic dishonesty shall be noted on the student's transcript for the period of suspension. After expiration of a sanction, it shall be the responsibility of the student to request removal of the sanction to the Office of the Provost after expiration of the sanction. Expulsion from Auburn University for academic dishonesty shall be permanently noted on the student's transcript. Students accused of academic misconduct, whether acknowledging involvement or not, should be allowed to continue in the course without prejudice pending action by the Committee.

CHAPTER 1204 Academic Honesty Committee

1204 The Academic Honesty Committee shall have the following structure:

1. There shall be an Academic Honesty Committee appointed by the President of Auburn University. The Committee shall consist of two undergraduate students, recommended by the President of the Student Government and one graduate student appointed by the Graduate

Student Organization and four faculty members. One of the faculty members shall be appointed Chairperson by the President of Auburn University;

2. The students shall be appointed for one year terms by the President of Auburn University. The students shall be of at least junior classification and shall be recommended annually by the President of the Student Government Association with the concurrence of the Student Senate. Four undergraduates and one graduate alternate member shall be appointed through the same appointment procedure;
3. Faculty members shall be appointed for three year staggered terms by the President of Auburn University following standard University Committee appointment procedures. Three alternate faculty members shall be appointed through the same appointment procedure;
4. Should a member of the Committee be involved in a violation to be heard or reviewed by the committee, that member should be replaced by an alternate. If the Chairperson excuses him or herself, the Provost will appoint a temporary chairperson;
5. A quorum for committee hearings will be five members, of whom three must be faculty and two students. The Chair may form part of the quorum, but may replace a faculty member only, not a student member;
6. Committee recommendations shall be made by a simple majority vote of the committee. Abstentions on a vote of guilty/not guilty will be counted as votes for acquittal. The Committee chairperson shall only vote to make or break a tie or when functioning as part of a quorum.

CHAPTER 1205 Administrative Responsibilities

1205 The Administration shall have the following responsibilities:

1. The Office of the Provost shall be responsible for the administration of the Student Academic Honesty Code, including the provision of information for faculty, staff and students, the preparation of materials for hearings, and the maintenance of confidential files regarding violations of the Student Academic Honesty Code;
2. The Provost will be responsible for making a decision based on recommendations from the Academic Honesty Committee;
3. Appeals are made directly to the President of Auburn University.

CHAPTER 1206 Rights of the Accused Student

1206 A student accused of violation of the Student Academic Honesty Code has the following rights:

1. To be informed, in writing, of the charge of academic dishonesty made against him/her and of any sanctions recommended by the charging party;

2. To be informed, in writing, of the right to attend a Facilitated Meeting with the instructor of the course in question and a faculty member of the Academic Honesty Committee if the instructor agrees to attend such a meeting;
3. To be informed, in writing, of the right of Hearing, the procedures involved, and the names of any known witnesses;
4. The right to receive written notice of the time and place of a hearing regarding the charges at least 48 hours in advance of the hearing, if a hearing is requested by the student;
5. To present witnesses and evidence and to be present throughout the presentation of witnesses and evidence at the hearing, if a hearing is requested by the student and to examine the evidence to be submitted by the charging party during the three days prior to the hearing or review;
6. The right to have sanctions deferred until completion of the process described herein, including any appeal to the President of Auburn University;
7. The right to appeal the decision of the Academic Honesty Committee to the President of Auburn University.

CHAPTER 1207 Rights and Responsibilities of the Faculty, Staff, and Students

1207 Faculty, staff, and students have the following rights and responsibilities:

1. Faculty have the right to establish standards of academic performance and expectations for students under their instruction and to assign grades accordingly;
2. Faculty, staff, and students have the responsibility to help enforce the Student Academic Honesty Code;
3. The instructor in charge of the class in which the alleged violation occurred and the person charging a violation of the Student Academic Honesty Code has the right to be informed of Committee procedures and to be present throughout the presentation of witnesses and evidence at any Committee hearing requested by the accused student;
4. The instructor of the class in which the alleged violation occurred and the person charging a violation have the right to appeal the decision of the Academic Honesty Committee to the President of Auburn University.

CHAPTER 1208 Procedure

1208.1 The procedure for filing charges is listed as follows:

1. A faculty member, staff member or student who charges a student with a violation of the Student Academic Honesty Code shall first make a reasonable attempt to meet with the

student and then report the incident to the Office of the Provost using an electronic form located on the Provost's website. The Office of the Provost will then assign the case to one of the faculty on the Academic Honesty Committee who then becomes the Facilitator. The Office of the Provost shall forward a copy of this form to the assigned Facilitator, the dean of the college or school in which the student is registered, the instructor in charge of the course in which the alleged violation occurred, and the instructor's dean or department head/chair. The written notice of the charge and any recommended sanctions shall be sent to the student within fifteen (15) class days after detection of the alleged violation. If an Academic Honesty Committee Hearing is ultimately held, such recommended sanctions shall not be construed as binding upon the Committee, and may be increased or decreased.

2. A person other than the instructor in charge of the course in which the alleged violation occurred, and who is charging a student with a violation of the Student Academic Honesty Code, would normally consult with that instructor, but is not required to do so.

1208.2 The procedure for processing charges is listed as follows:

1. When the Office of the Provost receives notice of the alleged violation of the Student Academic Honesty Code, that Office shall give written notice to the Facilitator assigned to the case, the accused student, the charging party, and the instructor in charge of the course in which the alleged violation occurred, of the optional Facilitated Meeting, the student's right to a Hearing, the procedures involved, and the names of known witnesses. This Office shall also indicate its willingness to meet with any involved parties to discuss and clarify procedures;
2. The Office of the Provost shall initially assign the case to one of the faculty on the Academic Honesty Committee who then becomes the Facilitator. If the accused student fails to request a Facilitated Meeting or a Hearing within the time allowed, the Committee will then be notified of the charges and response of the student in order to consider the case based on evidence available, and will submit its findings and recommendations to the Provost. If both the accused student and instructor of the course in question request a Facilitated Meeting, a date shall be set for a meeting, and the involved parties shall be notified by the Office of the Provost of the time, date, and place. The Office of the Provost will have a period of five (5) class days to begin scheduling an appointment with the student, Facilitator, and instructor;
3. If the student and instructor forgo the Facilitated Meeting, or if the Facilitated Meeting does not result in a mutually agreeable solution, approved by the Provost, the matter will be forwarded to the Committee in order to consider the case based on available evidence, including a Hearing if requested by the student, and will submit its findings and recommendations to the Provost;
4. If the accused student desires a Hearing, his/her written request for a Hearing must be delivered to the Office of the Provost within five (5) class days after receipt of notice of the right to a Hearing. This request should include any response the student wishes to make to the charges, as well as the names of known witnesses. The Office of the Provost

shall send a copy of the request for a Hearing and the response of the student to both the charging party and the other persons who received an original copy of the original charge;

5. If a Hearing is requested by the accused student, a date shall be set for a Hearing, and the parties shall be notified by the Committee of the time, date, and place. There shall be no less than ten (10) class days between the date of notification and the date of the Hearing, unless there is mutual agreement between the student and the Committee to schedule the Hearing at an earlier date;
6. If the student, after requesting a Hearing and receiving written notification of the Hearing date, fails to attend the hearing without good cause as determined by the Committee, or if the student has made it impossible to deliver the notification of hearing despite diligent efforts, the Committee's recommendation shall be based on the evidence available;
7. The Committee shall make every effort to hear the case with reasonable promptness. If the student is found guilty, sanctions shall be imposed even if the student drops or withdraws from the course. If the Committee deems that suspension is warranted, the suspension will begin the semester immediately following the semester in which the sanction was determined, unless the Committee recommends otherwise and the Associate Provost concurs;
8. In the case of a student who has, or soon will have completed all graduation requirements, graduation will be delayed until any period of suspension has passed;
9. Expulsion shall become effective on the date of the student's notification of the final action.

1208.3 Procedure for meeting with the Facilitator is listed as follows:

1. the student has the responsibility to request a meeting with the appropriate member of the Academic Honesty Committee as directed by the Office of the Provost upon receipt of notice of the alleged violation within five (5) class days of receipt;
2. Witnesses will not be present at the time of the meeting with the Facilitator. The meeting will be a discussion between the instructor of the course and the student about the incident and will be facilitated by the Committee member as a means of reaching a mutually satisfactory agreement that will conclude the matter, upon Provost approval, and preclude the involvement of the Committee;
3. The meeting is not a Hearing, rather the intention of the meeting is to discuss the charges and identify a resolution to the charges that is mutually agreeable to all parties attending the meeting. All parties are free to state their perspective and any supporting material evidence they have at the time of the meeting. The Facilitator's purpose is to assist in achieving a fair and focused discussion. The Facilitator will not serve as a determiner of fact or make decisions on the outcome;

4. Agreements may include appropriate sanctions determined by the parties or withdrawal of the charges by the accusing party;
5. The Academic Honesty Committee will review the recommended sanctions agreed upon during the Facilitated Meetings and forward the Committee's recommendation to the Office of the Provost. The Provost shall receive and consider the report of the Committee and shall determine the action to be taken. Approval of the agreement by the Provost will close the matter and no further actions on the charges will proceed;
6. If no agreement on a sanction can be reached during the meeting with the appointed Facilitator, the case will go before the Academic Honesty Committee for a final decision. The burden of proof rests with the accusing party and shall be satisfied by any clear and convincing evidence on the record considered as a whole. If this occurs, all procedures for the committee will apply as stated in 1208.4. The Facilitator will inform the Office of the Provost that an acceptable resolution was not reached and all involved parties will receive a copy of the notification. The date, time and location will be set for a Hearing in a timely manner and parties shall be notified by the Committee.

1208.4 The procedure for the hearings is listed as follows:

1. each party shall have the right to present witnesses and evidence at a hearing and to be present during the presentation of other witnesses and evidence;
2. Each party shall arrange for the attendance of their own witnesses. The Office of the Provost shall assist in securing the attendance of witnesses, if a written request for assistance is made to that office a reasonable time in advance of the hearing date. When either party requests that additional witnesses be present, the Committee may, after determining good cause, defer the hearing until such time that the witnesses may appear and be questioned;
3. The Committee may request the appearance of additional witnesses if the Committee believes that such witnesses could present relevant information. A witness who feels a need to be excused should, in advance of the hearing, confer with the Office of the Provost whose decision shall be communicated to the parties and the Committee;
4. When a witness fails or refuses to appear, the Committee shall decide whether or not to proceed on the basis of other evidence available. If the decision is in favor of proceeding, the Committee shall disregard the challenged portions of any written statements that may have been made by the absent witness;
5. The charged student is encouraged to give a statement and to cooperate with the Committee in processing his/her case. However, failure of the student to make a statement or to answer any or all questions shall not be considered in the determination of guilt or innocence;

6. A student's prior record of academic dishonesty sanctions shall be inadmissible as evidence to prove innocence or guilt. However, the prior record must be considered by the Committee in determining the appropriate sanctions;
7. The burden of proof rests with the charging party and shall be satisfied by any clear and convincing evidence in the record considered as a whole;
8. The hearing shall be recorded by tape recorder or other mechanical means, and a copy shall be made available to each party upon request. Committee deliberations shall not be mechanically recorded; the Committee shall conduct its deliberation in close and confidential session and shall submit findings and recommendations to the Provost.

1208.5 The procedure for any action taken against the student is as follows:

1. The Provost shall receive and consider the report of the Committee, and shall determine the action to be taken when the decision of the Provost differs from the Committee's recommendation, the Committee chair shall be consulted before the charged student is officially notified;
2. If, after the Committee hearing, additional evidence not presented in the hearing which could affect the decision of the Provost comes to his/her attention, the Provost shall return the case to the Academic Honesty Committee for consideration of additional evidence;
3. The Provost shall notify the charged student in writing of findings and sanctions to be imposed. Copies shall be sent to the instructor in charge of the course in which the alleged violation occurred, the dean and department head/chair of the instructor, and the person who initiated the action. The Registrar shall be notified in writing by the Office of the Provost when the notation "assigned for academic dishonesty" is to be placed on a transcript and/or when suspension or expulsion is assigned. Probation shall be monitored by the dean of the college or school in which the student is registered or to which he or she transfers, with the assistance of the Office of the Provost. No action shall be taken by any of the parties above for five class days after notification of the decision by the Provost or the completion of any appeal to the President of Auburn University, whichever is later;
4. When the period of a sanction has expired, the student shall be responsible for requesting in writing for the removal of notation of sanction from his/her record; 5. a student returning after completion of a suspension shall follow the same procedure for registration as any other returning student;
5. If the course ends before final action has been taken, the instructor shall assign the student a grade of incomplete.

1208.6 Upon notification of action, either party may appeal to the President of Auburn University. The appeal must be made in writing within five class days after receipt of notification of the action of the Provost and must include a full statement of asserted facts and argument concerning the appeal. The appealing party shall send a copy of the appeal to the Office of the

Provost, which shall send a notice of the appeal to all parties who received notice of findings and sanctions. The party which is not appealing may submit a written response within five (5) class days of receipt of the appeal. Prior to any change in the sanctions, the President of Auburn University shall confer with the Provost and the Academic Honesty Committee. The Provost shall then respond in writing to the appealing party. Notice of the action shall be sent to the parties that received notice of the appeal. The President of Auburn University's decision shall constitute the final action of Auburn University.

1208.7 Records of proceedings of Academic Honesty cases shall be considered confidential and shall be filed in the Office of the Provost for a period of six years following the hearing of the case. Access to these records shall be limited as indicated by applicable law and Auburn University policy concerning student records as outlined in the Auburn University Student Policies website.

6.2 Academic Honesty Resources for Faculty

Summary of faculty rights and responsibilities, steps to take when reporting suspected dishonesty cases, and examples of violations from the Academic Code; ways to discourage academic dishonesty

<http://www.auburn.edu/academic/provost/academicHonestyFaculty.html>

Section 7 Student Grievances

7.1 Student Academic Grievance Policy

- 1.1. The purpose of this procedure shall be to resolve academic grievances of students, which result from actions of faculty or administration. This resolution should be achieved at the lowest level and in the most equitable way possible. The burden of proof rests with the student complainant who is filing the academic grievance against the faculty/administrator respondent.
- 1.2. The Student Academic Grievance Committee does not have the authority to change or direct changes in student grades, faculty conduct, or other disputed areas. The Committee does have the responsibility to evaluate each case carefully and make specific recommendations to the Office of the Provost/Vice President for Academic Affairs.
- 1.3. During the student academic grievance process, student complainants and faculty/administrator respondents should not contact the Office of the Provost/ Vice President for Academic Affairs regarding academic grievance issues. Complainants and respondents may contact the Vice President for Academic Affairs following the closure of

the academic grievance case or the rendering of the committee's judgment following the formal academic grievance hearing. Likewise, student complainants and faculty/administrator respondents should not contact the President of Auburn University regarding academic grievance issues.

2. Steps Toward Redress

- 2.1. When a student believes he or she has an academic grievance, he or she should first seek to resolve that grievance by discussions with the faculty member or administrator involved. If these discussions are not satisfactory, the complaint should be taken to the next highest level listed in the following procedure. If the grievance arises from a classroom situation, the student should take the following steps in seeking redress.
 - 2.1.1. The student should consult with the faculty member involved, in person or by written contact, no later than within the first five working days of the semester following that in which the grievance occurs.
 - 2.1.2. If agreement on or compromise of the problem is not achieved, the student should take the grievance to the department head/chair or department chair.
 - 2.1.3. If the student is still not satisfied that a fair and equitable solution has been found, he or she should take the grievance to the academic dean of the respondent's school or college (for undergraduate students). Graduate students must concurrently contact the academic dean of the respondent's school or college and the dean of the graduate school.
 - 2.1.4. In the case of University courses (UNIV-1000, UNIV-1050, and any other undergraduate course with a UNIV designation), the student should contact the UNIV course coordinator/director in lieu of the department head/chair and the Associate Provost for Undergraduate Studies in lieu of the academic dean.
 - 2.1.5. As a last resort and only after steps 2.1.1-2.1.3.1 have been carried out, or have been conscientiously attempted, the student should take the grievance in writing to the Auburn University Student Academic Grievance Committee, specifically appointed to hear such complaints.
 - 2.1.6. The student should read this entire "Student Academic Grievance Policy" carefully before contacting the chair of the Student Academic Grievance Committee.
- 2.2. The Committee chair must be notified of the filing of a grievance no later than the 20th class day of the semester following that in which the grievance occurred.
- 2.3. No faculty member or administrator shall be allowed to delay the resolution of a grievance by failing to hold a consultation with a student within a reasonable length of time of the initial request. Normally such consultation should occur within two weeks

after the student request unless bona fide reasons such as illness, personal emergency or campus absence for professional reasons make this time limit unreasonable.

- 2.4. In some instances when the personalities or problems involved would make starting at the lowest level of the complaint too awkward or embarrassing, the student may initiate a complaint at the next higher level listed, e.g., for a faculty member within an academic department, the department's head or chair.
- 2.5. A faculty member may ask that a student grievance be submitted to the Auburn University Student Academic Grievance Committee if, in his or her professional opinion, the resolution procedure suggested by the department head or department chair and academic dean is not educationally sound.

3. Types of Grievances

No list of types of grievances can cover all contingencies. The following common types of student grievances, however, are within the Committee's jurisdiction.

- 3.1.1. Errors in calculations or recording of quizzes or other grades.
- 3.1.2. Lowering of the grade on the basis of attendance if this contradicts the attendance policy established and communicated in writing by the faculty member at the beginning of the course.
- 3.1.3. Failure of a faculty member to follow University policies in the conduct of classes or examinations.
- 3.1.4. Failure of a faculty member to recognize properly authorized excuses of absence.
- 3.1.5. Capricious, unreasonable, intimidating, or arbitrary actions that harm the student's performance.
- 3.1.6. Failure of a faculty member to grade, return and discuss assigned work within a reasonable time (e.g., before subsequent assigned work is scheduled for completion or before a subsequent examination).
- 3.1.7. Failure of a faculty member to announce testing procedures, grading policies, and the various requirements for successful completion of the course; also, changes in announced policies without due notice and explanation.
- 3.1.8. Discriminatory action among students within a class by a faculty member (e.g., singling- out specific students for either preferential or adverse treatment).

- 3.1.9. Failure of a faculty member to honor a specific commitment to a student concerning completion of work delayed because of illness, accident, or other justified reason.
- 3.2. Certain types of grievances, though common, should not be brought before this Committee, although they may be referred to the department head or department chair and, if necessary, the academic dean of the school for administrative review. Grievances outside the jurisdiction of this Committee include the following:
 - 3.2.1. Differences in grading by faculty members teaching separate sections of the same course.
 - 3.2.2 . Personal habits of the faculty member, however distracting.
 - 3.2.3 . Fine distinctions between any two grades, which may be appealed only to the faculty member.
 - 3.2.4 . Unannounced quizzes.
 - 3.2.5 . Questions concerning academic dishonesty, which should be referred to the Academic Honesty Committee.

4. University Student Academic Grievance Committee

4.1. Membership

- 4.1.1. There shall be nine (9) voting members of the Committee to be appointed by the President of the University as follows:
 - 4.1.1.1. Three (3) students [two (2) undergraduate students and one (1) graduate student] two (2) alternates [one (1) undergraduate and one (1) graduate alternate], to be recommended to the University President under procedures established by the Student Government Association. Not more than one (1) of the voting members may be a graduate student. Undergraduate students serving on this Committee must be regularly enrolled students in good standing and must have attained sophomore ranking at the time of appointment. Graduate students must have been admitted to an authorized advanced degree or certificate program. Student members shall be appointed in May of each year and serve a one (1) year term. Their terms of service shall begin with the summer semester each year and continue through the spring semester.
 - 4.1.1.2. Four (4) full-time faculty members and one (1) alternate to be recommended by the Rules Committee of the University Senate. Department heads or department chairs and members of the administrative faculty shall not be named to these positions. Faculty members shall serve three (3) year terms, and their appointments shall be arranged so that at least one (1) faculty member and not more than two (2) faculty members will be replaced each year. Their terms of service shall start in fall semester of the year of their

appointments. The chair of the Committee shall be appointed from among these faculty members nominated by the Senate Rules Committee in consultation with the President of the University. No person shall serve as the chair for more than three (3) years.

- 4.1.1.3. One (1) full-time member of the Administration (i.e., central administration, deans, associate deans, or assistant deans) and one (1) alternate to be appointed by the President.
- 4.1.1.4. One (1) representative of the Administrative and Professional employee group, who is currently teaching or has taught a class at AU within the past two years, and one (1) alternate, who shall meet the same requirements, to be recommended by the Nominations and Elections Committee of the Administration and Professional Assembly, in consultation with the Steering Committee of the University Senate. The Administrative and Professional representative shall serve a three (3) year term. The term of service shall start in the fall semester of the year of the appointment.
- 4.1.2. Five (5) voting members shall constitute a quorum. Decisions shall be reached by a majority of those present and voting.
- 4.1.3. The chair of the Committee shall be the administrative officer of the Committee. His or her duties shall include:
 - 4.1.3.1. Arranging for appropriate times and places for Committee meetings and hearings;
 - 4.1.3.2. Informing, in writing, those individuals listed in 4.2.3.2 of the times and places of Committee hearings that they are requested to attend, and supplying them with a statement of alleged grievances;
 - 4.1.3.3. Informing those listed in 4.2.3.2 that a grievance is pending;
 - 4.1.3.4. Securing and distributing to the Committee written materials or other documentation appropriate for its consideration;
 - 4.1.3.5. Arranging for the recording of Committee proceedings;
 - 4.1.3.6. Maintaining Committee records that are to be kept on file according to the guidelines established by the University Archivist in the Office of the Provost/ Vice President for Academic Affairs; and
 - 4.1.3.7. Informing, in writing, the Office of the Provost/Vice President for Academic Affairs of the recommendations of the Committee.
- 4.1.4. Any member of the Committee may at any time disqualify himself or herself from consideration of any given case or cases because of personal bias.

- 4.1.4.1. Should a Committee member be unable to hear a particular case, for any reason, the alternate shall be appointed by the chair to serve for the course of the particular grievance.
- 4.1.4.2. Should the Committee be involved in a specific case at the time of the return of an absent member, the replacement member shall continue as a member of the Committee in all sessions dealing with the specific case until it is concluded. The returning member shall resume membership on the Committee in any new cases brought before the Committee.
- 4.1.5. Should any member of the Committee be unable, for any reason, to complete a term for which he or she has been appointed, the alternate shall fill the balance of the term. Resignations shall be submitted in writing to the chair of the Committee. The chair of the Committee shall then inform the appropriate person of a vacancy and request the appointment of a new alternate.
- 4.1.6. No member of the Committee may be reappointed upon the expiration of a full three-year term. However, a former student member may be appointed as an alternate. If the Committee is involved in any specific case at the time of the expiration of the term of any member, that member shall continue to function as a member of the Committee in its dealings with that specific case only, until such time as the case is concluded. No newly appointed member shall be considered as a member of the Committee in relation to any case continuing from a time prior to his or her term. He or she shall, however, serve as a member of the Committee for all other matters, beginning with the first day of his or her designated term of service.
- 4.1.7. Either party to the hearing may request of the chair in writing that any member or members of the Committee be excluded from consideration of a case. Such a request must be for cause and be brought to the chair's attention as the first step in the hearing. In the event a member is disqualified by majority vote of the Committee from consideration of a case, the chair shall appoint the Committee alternate as a replacement.

4.2. Procedures for Hearings

- 4.2.1. Grievances must be filed with the Committee chair no later than the 20th class day of the semester following that in which the grievance occurred.
- 4.2.2. Where previous efforts for redress have failed, the student should file a grievance in writing to the chair of this Committee, accompanied by any initial documentary evidence.
 - 4.2.2.1. Complainants and respondents are encouraged to communicate and cooperate with the chair of the Student Academic Grievance Committee regarding the preparation of support materials related to the allegations of academic grievance.

- 4.2.2.2. At no time (outside of the formal hearing process) should any person directly or indirectly involved in the academic grievance case communicate with any of the voting or alternate members (with the exception of the chair) of the Committee about the grievance.
- 4.2.3. The following (4.2.3.1 - 4.2.9) represents general guidelines regarding hearing procedures. However, additional guidelines will be made available to the parties at least one week prior to the hearing.
 - 4.2.3.1. Upon receipt of the stated grievance, the chair shall forward a copy of the grievance to the faculty member, who is invited to submit a written response.
 - 4.2.3.2. The only persons present at reviews of complainant and respondent academic grievance materials by this Committee shall be Committee members, either voting members or alternates.
 - 4.2.3.3. The only persons present at full academic grievance hearings of this Committee shall be committee members, the complainant and the respondent(s), and material witnesses actually testifying before the Committee.
 - 4.2.4. The Committee, as a whole, shall arrange for a swift and comprehensive review of the grievance and may request from the parties involved and from resource persons additional information. It shall then decide, on the basis of this evidence, whether there are sufficient grounds to hear a case or not, and whether it will accept written statements in lieu of personal appearances or not. If the Committee decides that there are not sufficient grounds to hear a case and closes the case, it shall notify the complainant and respondent in writing as to the reasons for its actions.
 - 4.2.4.1. Written statements by material witnesses in lieu of personal appearance will not be allowed except under justifiable circumstances.
 - 4.2.5. If the Committee determines that the case merits further consideration in the form of a hearing, the parties involved shall be informed in writing and be advised of the scheduled time and place of the hearing. Complainants will be given copies of the respondent's academic grievance materials. Respondents will be given copies of the complainant's academic grievance materials. The complainant's and the respondent's academic grievance materials will be returned to the Committee chair at the close of the formal hearing.
 - 4.2.6. At the hearing, the complainant, respondent, and material witnesses may testify and may be questioned by the opposite party and Committee members. Only evidence previously presented to the committee and presented in the hearing may be considered in the final judgment.
 - 4.2.7. Below is the procedure to be followed during the hearing:

- 4.2.7.1. Complainant will state the grievance(s) and introduce as evidence any documentation he/she feels supports his/her claim. Testimony may be questioned by respondents and Committee members.
- 4.2.7.2. Respondent will state the response to the charges and introduce as evidence any documentation he/she feels supports his/her counterclaim. Testimony may be questioned by complainants and committee members.
- 4.2.7.3. Any material witnesses the complainant wishes to introduce to give verbal testimony may be presented. Testimony may be questioned by complainants, respondents, and Committee members.
- 4.2.7.4. Any material witnesses the respondent wishes to introduce to give verbal testimony may be presented. Testimony may be questioned by respondents, complainants, and Committee members.
- 4.2.7.5. Complainants and respondents may make additional comments and may be questioned by complainants, respondents, and Committee members.
- 4.2.7.6. All parties except the Committee will be dismissed.
- 4.2.7.7. The Committee will develop recommendations and transmit said recommendations to the Office of the Provost/Vice President for Academic Affairs.
- 4.2.8. A record of the hearing, tape recorded or otherwise preserved, shall be preserved for references and may be reviewed until the case has been finally resolved. However, Committee deliberations will not be subject to this requirement.
- 4.2.9. Proceedings shall be conducted in accordance with the AAUP's Joint Statement on Rights and Freedoms of Students proposed in 1967 and revised and updated in 1992. The AAUP's Statement on Graduate Students, which was adopted in 2000, will serve as an additional reference source for complainants who are graduate students.

4.3. Judgment

- 4.3.1. Committee members shall arrive at a judgment in consultation among themselves after the parties have been dismissed. Only members of the committee who have been present during all the meetings and who have heard all testimony relating to the alleged grievance may vote on the case.
- 4.3.2. A majority vote of such qualified members shall constitute a judgment.
 - 4.3.3.1. A decision of the Committee relating to redress of a particular case is final. The Committee does not have the authority to change or direct changes in student grades, faculty conduct, or other disputed areas. The Committee does

have the responsibility to evaluate each case carefully and make specific recommendations to the Provost/ Vice President for Academic Affairs. A course of action deemed appropriate by the Committee will be recommended.

- 4.3.3.2. The Provost/Vice President for Academic Affairs has the power to veto the proposed course of action. However, in the case of such veto, the case must be returned promptly to the committee for further consideration.
- 4.3.3. Should not be reported and should remain confidential to the committee.
- 4.3.4. The Provost/Vice President for Academic Affairs should transmit only the final decisions to the appropriate persons. The results of the intermediate steps in decision-making outlined under
- 4.3.5. The decisions reached by this committee shall take precedence over decisions reached by student grievance committees within individual departments, colleges or schools.
- 4.3.6. If redress requires a policy change, or if a policy change appears advisable or necessary, the committee shall refer its recommendations to the Executive Committee of the University Senate, or President of the University, as appropriate.
- 4.3.7. Should any person, whether directly involved in a complaint or not, allegedly suffer some disadvantages, discrimination, or reprisal as the direct or indirect result of any complaint, testimony, or statement in connection with committee action, the committee shall, upon request or upon its own motion, exercise original jurisdiction and take all necessary steps to verify the facts and render justice.

5. Revisions in the Procedures

During the spring semester of each year, the committee may propose revisions of these procedures which will become effective upon ratification by the Student Senate, University Senate, and the President of the University.

Section 8

The Graduate School

8.1 The Graduate Council

The governing body of the Graduate School is the Graduate Council. Graduate Council members represent the Graduate Faculty as a whole rather than the particular areas from which they come.

The Council is advisory to the President and acts on regulations and policies governing all graduate study and graduate degrees and on curriculum requests and proposals for new graduate programs, and assists the Dean of the Graduate School in carrying out regulations and policies. The Council helps to formulate changes in Graduate School policy. All actions of the Graduate Council are subject to the University President's review and approval. All general policy recommendations of the Graduate Council shall be reviewed by the University Senate before going forward to the President.

8.2 The Graduate Faculty

A. Introduction

Auburn University maintains a Graduate Faculty in accord with the requirements and recommendations set forth in SACS Criteria for Accreditation: Commission on Colleges, 11th ed., 2000, Section 4.8.2.3. These are quoted below:

Institutions offering either master's or specialist degrees must demonstrate a high level of faculty competence in teaching and scholarship. Institutions offering doctoral degrees must demonstrate the research capability of the faculty members teaching in these programs. Eligibility requirements for faculty members teaching graduate courses must be clearly defined and publicized.

All institutions must have adequate resources to attract and retain a qualified faculty, especially in the disciplines in which doctoral programs are offered. Faculty members responsible for the direction of doctoral research must be experienced in directing independent study. In addition, those engaged in graduate teaching should demonstrate, by their involvement in institutional activities, their commitment to the academic community, the institution they serve, their students, and their academic disciplines.

Each faculty member teaching courses at the master's and specialist degree level must hold the terminal degree, usually the earned doctorate, in the teaching discipline or a related discipline. . . . All faculty members teaching courses at the doctoral degree level must hold the earned doctorate in the teaching discipline or a related discipline.

The Commission recognizes that in unusual cases institutions may appropriately include as graduate faculty members those who have demonstrated exceptional scholarly or creative activity, or professional experience, but who may not possess the required academic credentials.

The Criteria further elaborates (Section 4.3.5):

The effectiveness of a graduate program depends largely on the scholarly stimulation obtained when a group of students interacts with faculty in complementary specialties. For this reason, graduate faculty members should be productive, creative scholars, readily accessible to their

students. The institution must provide an environment which supports and encourages scholarly interaction and accessibility among the faculty and students consistent with the quantitative intent of the Criteria.

B. Graduate Faculty Membership

Each department which offers a graduate degree shall develop and submit to the Graduate Council for approval a plan specifically detailing how those faculty members involved in teaching, directing research, or rendering other service to the program are selected and reviewed. New plans and modifications of approved plans may be submitted at any time. Guided by SACS criteria, the Graduate Council shall approve or disapprove the plans submitted. Department heads/chairs shall be responsible for ensuring that their departments comply with their approved plan.

While departmental plans may differ considerably, depending on local variables and on the nature of graduate instruction and research across the disciplines, all plans should include two main sections, one setting forth standards for appointment and one detailing procedures to be followed by the departments in determining whether faculty members have met those standards.

The following guidelines shall be observed:

1. All plans shall set forth specific and relevant standards for graduate faculty membership in the department in question. Where appropriate, plans may set forth distinct standards for the various levels of involvement in the graduate program, such as directing graduate student research, teaching graduate courses, serving on examining or advisory committees, or rendering other service to the graduate program.
2. All plans shall clearly state the term of appointment. No term shall exceed 7 years. Plans should contain criteria and standards for reappointment.
3. All plans shall specify clear and appropriate review procedures to be followed in considering candidates for initial appointment, and, where appropriate, reappointment. All plans that provide for more than one kind of appointment shall also specify appropriate procedures for considering changes in the kind of appointment.
4. All plans shall provide a coherent rationale for the criteria and procedures they propose.

C. Nomination and Review of Graduate Faculty Candidates

Candidates are nominated for Graduate Faculty membership and for renewal of membership in accord with the timetable set forth in their department's plan or in response to a call for nominations issued each fall semester by the Dean of the Graduate School. This call is timed to coincide with the Provost's call for nominations for promotion and tenure.

Each department shall review candidates for graduate faculty membership in accord with the plan approved by the Graduate Council.

Nominations shall be forwarded by department heads/chairs through the Dean of the College/School to the Dean of the Graduate School. Each nomination shall include 1) a letter from the department head/chair which explains how the candidate's record and performance meet approved standards and demonstrates that the department has followed approved procedures, and 2) a vita from the candidate including the Standard Biographical Data sheet supplied by the Office of the Provost. It is recommended that the candidate submit the same vita compiled for consideration for promotion and tenure.

If the Dean of the Graduate School is satisfied that the candidate has met the criteria for his or her department and that the nominating department has complied with its approved plan, he or she shall recommend to the President the candidate's appointment.

If the Dean of the Graduate School judges that the candidate has not met approved criteria or that the nominating department has not followed approved procedures, he or she shall notify the nominee and the department head/chair that the nomination shall be forwarded to the President with a recommendation against appointment. In such a case, the candidate may request an independent review of his or her credentials before the recommendation goes to the President. The Dean of the Graduate School shall then appoint an ad hoc review committee to render an independent assessment and recommendation. The committee shall be composed of three graduate faculty members from the candidate's discipline or from one closely related to it. The Dean of the Graduate School's recommendation and the ad hoc committee's recommendation shall then go forward to the President, whose decision is final. A candidate who is turned down at the department level may also request an independent review of his or her credentials by a similar committee. Such requests shall be sent to the Dean of the Graduate School through the department head/chair.

D. Periodic Review of Department Plans

The Graduate Council shall conduct periodic reviews of existing plans and of departmental compliance. Typically, these shall be timed to coincide with the SACS accreditation reviews.

8.3 Graduate School Policies

Policies governing academic standing, enrollment/program requirements, and curricular options for graduate students; graduate courses and curricula; graduate faculty appointments

<https://sites.auburn.edu/admin/universitypolicies/Policies/GraduateSchoolPolicies.pdf>

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	6.7 Award of Honorary Degrees Policy

Introduction

Faculty are key to the development, review, and revision of curriculum and academic standards at Auburn University. Through careful maintenance of these important areas, Auburn University ensures that its programs and policies promote excellence in academic endeavors and provide clear guidance and direction. Although many of the policies and guidelines in this chapter are

not under the purview of the University Senate, the Academic Standards Committee of the University Senate should be included in the review of any proposed revisions.

Section 1

Enrollment Planning

1.1 Enrollment Policy for Auburn Campus

Projected numbers of undergraduate and graduate students for the Auburn campus

[http://www.auburn.edu/administration/trustees/policies/C-2 Enrollment Policy for Auburn Campus.pdf](http://www.auburn.edu/administration/trustees/policies/C-2%20Enrollment%20Policy%20for%20Auburn%20Campus.pdf)

1.2 Policy on Program Enrollment Plans

Considerations for college and school enrollment plans designed to maintain high levels of quality

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonProgramEnrollmentPlans.pdf>

1.3 Policy and Procedures for Establishing or Changing the Enrollment Cap of an Undergraduate Major

Procedures for establishing, continuing or discontinuing enrollment limits in high demand majors

<https://sites.auburn.edu/admin/universitypolicies/Policies/PoliciesandProceduresforEstablishingorChangingtheEnrollmentCapofanUndergraduateMajor.pdf>

Section 2

Undergraduate Degree Programs

2.1 Policy on Bachelor's Degree Requirements

Basic requirements for students in all undergraduate majors

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonBachelorDegreeRequirements.pdf>

2.2 Policy on Undergraduate Curriculum Model Change

General guidelines for determining graduation requirements for students enrolled in a program that alters its curriculum

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonUndergraduateCurriculumModelChange.pdf>

2.3 Program Review and Assessment

Purpose, scope, criteria and standards for the periodic formal review of academic program

<http://www.auburn.edu/academic/provost/programReview.html>

2.4 Policy on Substantive Change and Notifying the Commission on Colleges of the Southern Association of Colleges and Schools (SACSCOC)

Requirements and procedures for notification when an academic unit proposes a significant modification in the nature or scope of the university's activities, such as more advanced coursework, joint degrees with another institution, initiating off campus sites, adding a significantly different program, altering significantly the length of a program, and other actions

<https://sites.auburn.edu/admin/universitypolicies/Policies/SubstantiveChangeNotificationPolicy.pdf>

Section 3 Directed Studies

3.1 Directed Studies Definition and Policy

This policy has been recommended to the interim president by the provost and formally adopted by the President on August 10, 2006

Definition of Directed Readings Courses

Auburn University offers directed readings courses, also referred to as special problems courses or independent studies, in accordance with established policy.

Directed readings courses allow in-depth study of a particular subject by a student who is well into her or his major and, in extraordinary circumstances, accommodate scheduling issues when no other remedy is available.

Directed readings courses should not normally be used as replacements for required courses or as a solution to routine scheduling problems.

Purpose of Policy

The university is committed to maintaining the highest level of academic quality and integrity in the instructional process.

This policy is designed to bolster both quality and academic integrity by ensuring that the academic quality of directed readings courses is materially equivalent to the academic quality of other courses, regardless of format or mode of delivery.

Eligibility

To be eligible to take a directed readings course a student must be at junior level or above, and the course must be taken for credit toward the student's major or minor; exceptions may be approved as follows:

Exceptions concerning junior standing or higher, or concerning credit toward the student's major or minor, must be approved by the instructor and the offering department head/chair (or dean, if the instructor serves as department head/chair or associate dean), and by the dean of the college in which student is enrolled, if different from the offering college.

A student must have the approval of her/his dean and the provost to take more than 9 hours of directed readings coursework for credit over the course of her/his degree program.

Approval to Teach Course

A standard ["Approval for Independent Study / Directed Readings" form](#) available through the Office of the Provost web page will specify the necessary approvals and serve as the vehicle for obtaining them. Except as permitted by deadline variations within the "Registration and Scheduling" provisions of the university's "Academic Policies," all necessary approvals must be obtained by the tenth class day of the semester (or fifth class day of the summer semester) in order for the course to be taken for credit toward a degree.

The form for course approval serves in the nature of a contract in which the student and the instructor affirm their understandings concerning:

a. the objective of the course; b. the nature of the teaching-learning process and the proposed schedule of meetings; c. the proposed work products; and d. the criteria that will be used to assess the work product and the grade options that will be available.

Information on points a through d above should be presented through a syllabus that is attached to the form for approval.

Academic Standards

The documentation consisting of the approval form and accompanying material must comply with the course description approved by the University Curriculum Committee, and must reflect essentially the same standards of academic quality expected of all courses regardless of format or mode of delivery.

An instructor wishing to offer directed studies coursework to more than three students in any given semester must receive written approval from the department head/chair (or dean, if the instructor serves as department head/chair or associate dean) no later than the tenth class day of the semester (fifth day of summer semester).

The instructor, department head/chair, and dean affirm through their signatures on the approval form that the amount and level of credit to be awarded for the course is materially equivalent to the amount and level of credit awarded for comparable course work, regardless of format or mode of delivery.

Section 4 Distance Learning

4.1 Distance Education Standards and Guidelines

Relationship of distance Learning to the University mission, strategic plan; requirements for course and program offerings; faculty participation; financial considerations; intellectual property; assessment; course and program approval process

[http://auburn.edu/outreach/dl/files/pdf/Distance Education Standards Guidelines.pdf](http://auburn.edu/outreach/dl/files/pdf/Distance_Education_Standards_Guidelines.pdf)

Section 5

Student Enrollment

5.1 Schedule Adjustment Policy

Provisions for students to add courses through the first day of class, for departments to add students to a class through the first fifteen class days of the term, and for students to drop classes before and after midterm

<https://sites.auburn.edu/admin/universitypolicies/Policies/ScheduleAdjustmentPolicy.pdf>

5.2 Undergraduate Course Load Policy

Maximum enrollment load for students; provisions for exceeding the maximum

<https://sites.auburn.edu/admin/universitypolicies/Policies/UndergraduateCourseLoadPolicy.pdf>

5.3 Undergraduate Course Repeat Policy

Rules for students to repeat courses in which they have already earned a grade

<https://sites.auburn.edu/admin/universitypolicies/Policies/UndergraduateCourseRepeatPolicy.pdf>

5.4 Undergraduate Course Withdrawal Policy

Rules for students to drop courses; assignment of the W grade

<https://sites.auburn.edu/admin/universitypolicies/Policies/UndergraduateCourseWithdrawalPolicy.pdf>

5.5 Policy on Retroactive Withdrawals/Resignations and Withdrawals/Resignations after Midterm

Detailed rules for students to drop from a course or some courses, to resign from all courses; medical and non-medical justifications

<https://sites.auburn.edu/admin/universitypolicies/Policies/RetroactiveandAfterMidtermWithdrawalsandResignationsPolicy.pdf>

Section 6

Student Academic Status

6.1 Undergraduate Policy on Appeals of Suspension

Provisions for students to appeal academic suspension or dismissal

<https://sites.auburn.edu/admin/universitypolicies/Policies/UndergraduatePolicyonAppealsofSuspension.pdf>

6.2 Policy on the Percentage of Course Work Earned in Residence at Auburn University

Number, percentage and timing of semester hours that must be taken in residence

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonthePercentageofCourseWorkEarnedinResidenceatAuburnUniversity.pdf>

6.3 Policy on Transient Students

Provisions for students to take courses at another institution on a transient basis

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonTransientStudents.pdf>

6.4 Policy on Change of Major or Curriculum

Requirements for students transferring from one major to another

<https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonChangeofMajororCurriculum.pdf>

6.5 Undergraduate Dean's List Policy

Requirements for inclusion on the dean's list

<https://sites.auburn.edu/admin/universitypolicies/Policies/UndergraduateDeanListPolicy.pdf>

6.6 Award of Posthumous Degrees

Eligibility, approval process, and procedures for awarding the degree

<http://www.auburn.edu/administration/trustees/policymanual/posthumous.html>

6.7 Award of Honorary Degrees Policy

Criteria and procedures for selecting honorary degree recipients

http://www.auburn.edu/administration/trustees/policies/C-3_Award_of_Honorary_Degrees.pdf

Chapter 6 Research	
Introduction	The University's Formal Research Program
Section 1 Conducting Research	1.1 AU Scholarship Incentive Policy
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Introduction: The University's Formal Research Program

Research is essential to the continuing vitality of a large-scale institutional program. All of Auburn's academic colleges, schools and departments are engaged in research. The University's research program is coordinated through the Office of Associate Provost and Vice President for Research.

Section 1 Conducting Research

1.1 AU Scholarship Incentive Policy

1. PREAMBLE

Externally sponsored academic activity involving university faculty, whether teaching, research, outreach or service, is presumed to satisfy the academic needs of the university and the academically related objectives of the sponsoring agency. The university provides faculty and facilities while the sponsor provides funds for the activities. Because faculty time and effort are required, it is reasonable for the university to request funds from the sponsor to support faculty effort. Whenever possible, it is prudent for the university to dedicate released funds in ways that

enhance its academic activities. The purpose of this policy is to provide a direct incentive to faculty who receive extramural funding that includes salary support.

2. GUIDING PRINCIPLES

1. When appropriate, sponsoring agencies that have objectives compatible with AU's academic enterprise may provide funds to support faculty time and effort. Such funds should be substituted for AU funds (state funds, endowment, etc...) that have been dedicated to faculty members' base salaries.
2. Eligible funds released when a faculty activity, i.e., teaching, research, outreach or service, is supported by an extramural grant or contract may be used to create an incentive pool within each department to further its academic activities.
3. The incentive pool may be used to provide funds for travel, equipment, faculty salary supplements, graduate student support, and other activities that enhance the academic mission.
4. Each department or unit may determine the manner of distributing its own incentive funds with the intent of providing an incentive to the faculty member generating the funds. Departments should review their incentive policy at least every 3 years.
5. Incentives for faculty members with joint appointments, or with appointments funded from multiple sources should be negotiated between the funding units.
6. The base salary or contract salary of individual faculty members may not be altered by the receipt of incentive salary.
7. This policy does not restrict the amount that may be secured for summer salary for faculty with 9-month appointments.
8. The particular incentive(s) to be received, as described in 2.3 above, are to be negotiated between the faculty member receiving the eligible extramural funding and the appropriate department head or chair.
9. The Provost and Vice President for Research must approve each department or unit's plans for distributing funds.

3. REQUESTS FOR SALARY SUPPORT ON GRANTS AND CONTRACTS

Faculty members who apply for externally funded grants or contracts should request a percentage of their total salary, including fringe benefits, from the extramural source, consistent with the time commitment to conduct the proposed academic activity, unless excluded by the funding agency.

All faculty funded from AU sources, unless otherwise restricted, are eligible. Individuals, who are split-funded from eligible and ineligible sources, will be eligible to participate with that portion of their salary supported by eligible funds.

A faculty member may be eligible for an incentive supplement from the incentive pool not to exceed 20% of their annualized base salary. The faculty member and the department chair will execute a written contract for the specific amount of the incentive award. The academic incentive allocation to faculty will be made once a year at the end of the fiscal year.

Each contract for academic incentive salary must be approved by the Dean and the appropriate Vice President.

1.2 Limited Submission Grant Application Policy

Procedure to select the applicants who may submit letters of intent or proposals in response to an RFP that limits the number of submissions from a single university

<https://sites.auburn.edu/admin/universitypolicies/Policies/LimitedSubmissionGrantApplicationPolicy.pdf>

1.3 Research Involving Human Subjects

Auburn University established the Institutional Review Board for the Use of Human Subjects in Research (IRB) to evaluate research for compliance with guidelines and regulations established by the U.S. Department of Health and Human Services and the U.S. Food and Drug Administration. All research in which human subjects are used, whether by faculty, staff, or students, must be approved in advance by the IRB, no matter the source of funding, lack of funding, or any other consideration. All modifications to approved human subject protocols must be submitted to and approved by the IRB in advance of implementation. Information may be obtained from the Office of Associate Provost and Vice President for Research. Many departments or academic units have in place a procedure for screening or review of proposals before they are sent to the University IRB.

1.4 Activities Involving Animal Subjects

Auburn University established the Institutional Animal Care and Use Committee (IACUC) to assure compliance with policies of the U.S. Department of Health and Human Services and all other federal, state and local regulations concerning care, treatment and use of animals in research, teaching, production, and demonstration activities. All such activities, whether by faculty, staff, or students and whether funded or unfunded, must be approved in advance by the committee. All modifications to approved animal subject protocols must be submitted to and approved by the IACUC in advance of implementation. Information may be obtained from the Office of Associate Provost and Vice President for Research.

Section 2 Violations of Research Integrity

2.1 Scientific Misconduct Policy

The University's Policy on Scientific Misconduct was developed to effect compliance with the requirements of the Public Health Service Final Rule on "Responsibilities of Awardees and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science" (42 CFR Part 50). Allegations of scientific misconduct made against any faculty, staff, or student of the University involved in research or research training, application for support of research or research training, or related research activities shall be handled according to the policies and procedures included in Auburn's policy statement on Scientific Misconduct, quoted below from the *Board of Trustees Policies Manual*, pp. C-10-16.

Misconduct in research, herein defined as scientific misconduct, is inappropriate behavior. Allegations of scientific misconduct made against individuals involved in research, or research training, applications for support of research or research training, or related research activities will be handled according to the policies and procedures included herein. Additional policies and procedures for scientific misconduct which apply only to Public Health Service supported research are provided in the section titled *ADDITIONAL POLICIES APPLICABLE ONLY TO PUBLIC HEALTH SERVICE FUNDED RESEARCH*.

DEFINITIONS

- A. "Misconduct" or "Misconduct in Science" means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.
- B. "Inquiry" means information gathering and initial fact finding to determine whether an allegation or apparent instance of misconduct warrants an investigation.
- C. "Investigation" means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred.

ALLEGATIONS

Initial allegations should be reported to the Dean(s) of the college(s) or school(s) in which the alleged misconduct occurred. The Dean(s) must immediately report such allegations to the Associate Provost and Vice President for Research. If the Associate Provost and Vice President for Research have possible conflicts of interest, the allegations shall be referred to the Provost and Vice President for Academic Affairs. In the event of such conflict, "Provost and Vice President for Academic Affairs" shall be substituted for "Associate Provost and Vice President for Research" hereinafter.

The Associate Provost and Vice President for Research shall informally review any allegation of scientific misconduct, confer with the appropriate Dean(s) and University administrators, and determine whether the allegation warrants initiation to the inquiry process. The Associate Provost and Vice President for Research shall discuss with the person making the allegations (hereafter referred to as the complainant(s)) the University's scientific misconduct policies and procedures. If the complainant(s) chooses to make a formal allegation and the

Associate Provost and Vice President for Research determine that the allegation warrants initiation to the inquiry process, the inquiry shall be initiated immediately.

In order to effectively follow through with any allegations of misconduct, the identity of the complainant(s) must be revealed to the Associate Provost and Vice President for Research. Where the complainant seeks anonymity, the Associate Provost and Vice President for Research shall operate in such a way as to maintain that anonymity to the degree compatible with accomplishing the initial reviews. However, such anonymity cannot be assured. Further, anonymity of the complainant is neither desirable nor appropriate where an inquiry is instituted.

The University shall pursue an allegation of misconduct to the extent it is reasonably capable of doing so, even if the individual(s) against whom the allegation is made (hereafter referred to as the respondent(s)) has left the University before the case is resolved.

All reported allegations should be kept confidential to the extent permissible by law, and the University will undertake diligent efforts to protect the positions and reputations of those complainant(s), who, in good faith, make allegations of misconduct. If an allegation is found to be unsupported but has been submitted in good faith, no further action, other than informing all involved parties, shall be taken. The notification and the proceedings of an inquiry or an investigation, including the identity of the respondent(s), shall be held in strict confidence to protect the parties involved. If confidentiality is breached by the University, the University shall take such reasonable steps as are requested to minimize the damage to reputations that may result from unsupported allegations.

INQUIRY

An inquiry is designed to separate allegations deserving of further investigation from frivolous, unjustified, or clearly mistaken allegations. Factual information is gathered and expeditiously reviewed to determine if an investigation of the charge is warranted.

The Associate Provost and Vice President for Research shall appoint an Inquiry Committee of no less than three (3) persons. The Committee shall consist of senior tenured faculty who are without conflict of interest, hold no appointment in the department(s) of either the complainant(s) or the respondent(s), and have appropriate expertise for evaluating the information relevant to the case. In the event of conflict of interest or need to acquire appropriate expertise, the Associate Provost and Vice President for Research may go outside the University to select one or more Committee members. Every effort shall be made to appoint a Committee of Inquiry within fifteen (15) days, but the Committee must be appointed within thirty (30) days from the receipt of the allegation.

The inquiry phase, including preparation of the written Report of Inquiry, shall be completed within sixty (60) calendar days of its initiation unless circumstances clearly warrant a longer period. In such circumstances, the Committee shall advise the Associate Provost and Vice President for Research who shall notify all relevant parties. The Report of Inquiry shall include documentation for justifying an extension of the 60-day period.

Records and proceedings of the inquiry are confidential and are to be passed on to a Committee of Investigation if an investigation is initiated. In any case, the records should be kept secure, and if no misconduct is found, records should be destroyed three (3) years after completion of an inquiry. Making the records public without authorization is grounds for a charge of misconduct.

The Associate Provost and Vice President for Research is responsible for notifying respondent(s) in writing of the allegations and of the proposed membership of the Committee of Inquiry for the purpose of identifying in advance any real or potential conflict of interest. As the inquiry is informal and intended to be expeditious, principals are expected to speak for themselves. All individuals may have the assistance of legal counsel and shall have the opportunity to present evidence and to call witnesses.

During the inquiry, the Associate Provost and Vice President for Research and the members of the Committee are responsible for the security of relevant documents. Copies of all documents and related communications are to be securely maintained in the Office of the Associate Provost and Vice President for Research.

The completion of an inquiry is marked by a determination of whether or not an investigation is warranted. The Committee's recommendation to proceed to an investigation shall be based on demonstrated probable cause for each allegation. The Committee shall prepare a written Report of Inquiry that states what evidence was reviewed, summarizes relevant interviews, and includes the findings and recommendations of the inquiry. The Report of Inquiry shall be submitted to the Associate Provost and Vice President for Research who shall be responsible for notifying the respondent(s) and complainant(s) of the outcome within ten (10) working days.

The respondent(s) shall be given a copy of the Report of Inquiry and the opportunity to comment in writing upon the findings and the recommendations. If the respondent(s) chooses to comment, such comments shall be forwarded as soon as possible but must be forwarded within ten (10) working days. The respondent(s)' comments shall be made a part of the record.

If the outcome of the inquiry indicates a need for formal investigation, the Associate Provost and Vice President for Research, shall notify this fact in writing to the appropriate Dean(s) and University administrators on or before the date the investigation begins. If the Associate Provost and Vice President for Research finds the allegations to be unfounded and malicious, appropriate University procedures may be invoked to address possible actions to be taken against the complainant(s).

INVESTIGATION

The purpose of an investigation is to determine whether scientific misconduct has been committed. The investigation shall focus on accusations of misconduct as defined previously and examine the factual materials of each case. In the course of an investigation, additional information may emerge that justifies broadening the scope of the investigation beyond the

initial allegations. The respondent(s) shall be informed in writing when significant new directions of investigations are undertaken.

The Associate Provost and Vice President for Research shall appoint an Investigating Committee of no less than three (3) persons. The Committee shall consist of senior tenured faculty who are without conflict of interest, hold no appointment in the departments of either the complainant(s) or the respondent(s), and have appropriate expertise for evaluating the information relevant to the case. In the event of conflict of interest or need to acquire appropriate expertise, the Associate Provost and Vice President for Research may go outside the University to select one or more Committee members. Every effort shall be made following the determination that an investigation is warranted to appoint an Investigating Committee within fifteen (15) days, but the Committee must be appointed within thirty (30) days. The Investigating Committee may or may not consist of the same membership as the Inquiry Committee.

Every effort should be made to complete the investigation within 120 days of its initiation; however, it is acknowledged that some cases may render this time period difficult to meet. In such cases, the Investigating Committee should compile a progress report, identify reasons for the delay and notify the Associate Provost and Vice President for Research of the additional time necessary for the investigation.

The Associate Provost and Vice President for Research shall convey to all relevant parties such information as may be required and shall notify all parties in writing of the allegations and of the procedures that shall be used to examine the allegations. Further, they shall be informed of the proposed membership of the Committee of Investigation for the purpose of identifying in advance any real or potential conflict of interest.

All parties to the case may be represented by legal counsel, may present evidence, and may call and examine witnesses. The investigation normally shall include examination of all documentation, including but not necessarily limited to relevant research data and proposals, publications, correspondence, and memoranda of telephone calls. The Committee shall attempt to interview all individuals involved either in making the allegation or against whom the allegation is made, as well as other individuals who might have information regarding key aspects of the allegations. Summaries of these interviews shall be provided to the interviewed party for comment or revision and included as part of the investigatory file. The Committee may request the involvement of outside experts. The investigation must be sufficiently thorough to permit the Committee to reach a decision about the validity of the allegation(s) and the scope of the wrong doing or to be sure that further investigation is not likely to alter an inconclusive result. In addition to making a judgment on the veracity of the charges, the Committee may recommend to the Associate Provost and Vice President for Research appropriate sanctions.

As the University is interested in protecting the health and safety of research subjects, students and staff, interim administrative action may be warranted prior to the conclusion of either the inquiry or the investigation. Such action ranging from slight restrictions to complete suspension of the respondent(s) and notification of external sponsors, when required by Federal regulations, is initiated by the Associate Provost and Vice President for Research.

All parties in the investigation are encouraged to cooperate by producing any additional data requested for the investigation. Copies of all materials secured by the Committee shall be provided to the respondent(s) and may be provided to other concerned parties as judged appropriate by the Committee. The respondent(s) shall have an opportunity to address the charges and evidence in detail.

After all evidence has been received, the Investigating Committee shall meet to deliberate and prepare its findings and recommendations. The Committee shall find no scientific misconduct unless a majority of the members conclude by clear and convincing evidence, based on the record as a whole, that the allegation(s) have been substantiated. All significant developments during the investigation, as well as the findings and recommendations of the Committee, shall be reported to the Associate Provost and Vice President for Research and to all Federal agencies, sponsors, or other entities with a need to know.

Upon completion of the investigation, the Committee shall submit to the Associate Provost and Vice President for Research a full written report which details the Committee's findings and recommendations. This report shall be sent also to the respondent(s) by the Associate Provost and Vice President for Research within ten (10) days of its receipt. The respondent(s) shall be given the opportunity to comment in writing upon the findings and the recommendations. If the respondent(s) chooses to comment, such comments shall be forwarded as soon as possible but must be forwarded within ten working days. The respondents' comments shall be made a part of the record.

RESOLUTION

In the absence of a finding of scientific misconduct, all parties informed of the investigation shall be informed in writing that allegations of misconduct were not supported. If the allegations were deemed to have been unfounded and maliciously motivated, appropriate actions shall be taken against the complainant. If the allegations were deemed to have been made in good faith, no additional measures are indicated and efforts shall be made to prevent retaliatory actions. In publicizing the findings of no misconduct, the University shall be guided by whether public announcements shall be harmful or beneficial in restoring any reputation(s) that may have been damaged. Usually, such decision shall be made in conjunction with the person(s) who was innocently accused.

When it has been determined that scientific misconduct has occurred, the Associate Provost and Vice President for Research shall consider the recommendations of the Committee and shall be responsible for determining and implementing sanction(s) as appropriate. The respondent(s) shall be notified in writing of the sanction(s) within twenty (20) days. If the sanction(s) involve termination of employment, the University termination procedures shall be invoked. The University must take action appropriate for the seriousness of the misconduct. Sanctions shall not be imposed during the appellate process.

APPEAL

Respondent(s) may appeal the decision of the Associate Provost and Vice President for Research. A written statement of the grounds for the appeal must be submitted to the President within thirty (30) days of written notification of the sanction(s). Appeals shall be restricted to the body of evidence already presented, and the grounds for appeal shall be limited to failure to follow appropriate procedures in the investigation or decisions/recommendations not supported by any reasonable evidence. Upon receipt of a written appeal, the President shall evaluate the evidence and make a determination. The President's decision shall be binding on all parties and shall be conveyed to all involved in a timely fashion.

Although new previously unconsidered material evidence is not grounds for an appeal, the Respondent(s) may submit a request to the President to reopen the Investigation in the event such evidence becomes available.

POLICIES APPLICABLE ONLY TO PUBLIC HEALTH SERVICE FUNDED RESEARCH

The Associate Provost and Vice President for Research will notify the Office of Research Integrity when, at any stage of the inquiry or the investigation, there is an immediate health hazard; there is a need to protect Federal funds, equipment, or individuals affected by the inquiry or the investigation; and it is probable that the alleged incident will be reported publicly. If there is reasonable indication of possible criminal violations, the Associate Provost and Vice President for Research shall notify the Office of Research Integrity within twenty-four (24) hours.

When the inquiry determines that an investigation is not warranted, the University will maintain sufficient documentation of inquiries to permit a later assessment of the reasons. These records shall be maintained in a secure manner for a period of at least three (3) years after the termination of an inquiry, and shall, upon request, be provided to the authorized Department of Health and Human Services personnel.

If the University plans to terminate an inquiry or an investigation for any reason without completing all relevant requirements which are designated in this policy, then a report of the planned termination, including a description of the reasons for such termination, shall be made to the Office of Research Integrity.

If the outcome of the inquiry indicates a need for formal investigation, the Associate Provost and Vice President for Research, shall notify this fact in writing to the Office of Research Integrity on or before the date the investigation begins. At a minimum, the notification should include the name of the respondent(s) against whom the allegations have been made, the general nature of the allegation, and the Public Health Service application or grant number(s) involved.

The Investigating Committee shall immediately advise the Associate Provost and Vice President for Research of any developments during the course of the investigation which disclose facts that may affect current or potential Department of Health and Human Services funding for respondent(s) under investigation or that the Public Health Service needs to know to ensure appropriate use of Federal funds and otherwise protect the public interest, and the Associate

Provost and Vice President for Research shall promptly appraise the Office of Research Integrity of these developments.

When the Investigating Committee is unable to complete the investigation in 120 days, the Associate Provost and Vice President for Research shall submit to the Office of Research Investigation a request for an extension, and it shall include an explanation for the delay, an interim report on the progress to date, an outline of what remains to be done, and an estimated date of completion. If this request is granted, the Associate Provost and Vice President for Research will file periodic progress reports, as requested, to the Office of Research Integrity.

The Associate Provost and Vice President for Research shall submit the final Report of Investigation to the Office of Research Integrity. This report shall describe the policies and procedures under which the investigation was conducted, how and from whom information was obtained relevant to the investigation, the findings, and the basis for the findings. It should also include the actual text or an accurate summary of the views of any individual(s) found to have engaged in misconduct, as well as a description of any sanctions taken by the University. Documentation which substantiates the investigation's findings will be made available to the Director of the Office of Research Integrity. If they can be identified, the respondent(s) who raised the allegation should be provided with those portions of the report that addresses their role and opinions in the investigation. All records of the investigation shall be retained for a period of three (3) years after PHS acceptance of the final Report of Investigation

2.2 Conflict of Interest Policy

Currently under development

Section 3 Research Products

3.1 Auburn University Copyright Policy

The purpose of this policy is to provide guidelines for the determination of the respective rights of Auburn University and its members with regard to copyrights and royalties or other income derived from copyrightable work initiated after October 1, 1984. Materials and works subject to copyright and produced by members of the faculty, administration, staff, students, or other employees as a part of their employment shall be governed by this policy. Renewals of copyrights under previous copyright statutes shall follow the original formal or tacit copyright agreement between the University and the producer unless the material or work to be reproduced involves changes assisted or assigned by the University after October 1, 1984. This policy covers

all material and work to be copyrighted by members of Auburn University under the Copyright Laws of the United States and/or other protective statutes. Examples of works covered by this policy include but are not limited to the following:

1. Books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests, and survey instruments.
2. Lectures and unpublished lecture notes.
3. Films, slide programs, film strips, charts, transparencies, pictorials, graphics and other visual aids.
4. Video and audio tapes and cassettes.
5. Live video or audio broadcasts.
6. Programmed instruction materials.
7. Computer programs and documentation.

I. Determination of Equity in Copyrighted Materials

Copyrighted material may be produced through:

1. Individual Efforts

This policy recognizes the long-standing custom and tacit understanding that faculty members own copyright to their individual scholarly work. A member of the University is entitled to ownership of copyright and royalties or other income derived from individual scholarly works. Individual work for members of the faculty is defined as that scholarly work generally expected of faculty and incorporated into the regular recognitions and rewards processes of the University and is not a specific University assigned effort. Individual work, so defined, is automatically exempt from the formal review procedures of this policy. Individual scholarly work in which the University provides specific and non-routine support for the work, as defined by departmental, or unit, or University policy, shall be governed by Section I., 2. of this policy.

2. University Assisted Individual Efforts

Materials or works produced by employees of the University shall be subject to copyright by the employee and/or the University as co-authors if the production cost is specifically shared by the employee and the University and the material and works are not prepared in accordance with the terms of a contract or grant in which the University is a party or as a specific University assignment. In cases of

University Assisted Individual Efforts in which the University assistance is less than fifty percent of the costs of production, the individual employee shall retain the copyright and the University may share in the division of royalty and other income up to the total of reimbursement costs of University assistance. In cases in which the University assistance is fifty percent or greater, the University shall retain the copyright and the division of royalty and other income shall be based on percentage of sponsorship. The percentage distribution shall be determined in accordance with the procedures in Section III. of this policy.

Routine use, as determined by departmental, unit, or University policy, of the Library, office space, equipment, supplies, facilities, and personnel does not, for the purposes of this policy, constitute University assistance.

3. Extramurally Sponsored Efforts

Rights to materials and works subject to copyright and developed as a result of work supported partially or fully by an outside agency through a contract or grant shall be determined in accordance with the terms of the contract or grant. In those cases where copyrights are vested in the University or shared between the sponsor and the University, the producer may share in the income within the provisions of this policy.

4. University Assigned Efforts

Materials or other works produced by employees of the University shall be subject to copyright exclusively by the University, if the University assigned the employee to write or produce the specific materials or works. Sharing of royalty or other income with the author or producer may be authorized by the Vice President for Research as an incentive to encourage further development of copyrightable materials. A faculty member's general obligation to produce scholarly and creative works and/or the receipt of a Professional Improvement Leave, unless there is a specific agreement to the contrary, do not constitute University Assigned Efforts as defined in this policy.

II. Remuneration

An employee of Auburn University may receive royalty and other incomes resulting from the net profit earnings from copyrighted material. No limit shall be set on the amount of royalty income an individual may earn. Determination of the relative amounts of royalty and other income earned or projected shall be negotiated with the Vice President for Research and shall be made at the time of copyright application, or at such prior time as deem appropriate, and within the provisions set forth in this policy. All remuneration agreements shall be put in writing.

III. Procedures

Prior to initiation, or at such prior time as may be appropriate, of a copyright application resulting from materials or works produced by Auburn University employees as a part of or related to their employment, the employee shall submit a Copyright Agreement for review and approval through the department or unit head and dean to the Vice President for Research. The agreement proposal shall be submitted on forms provided by the Vice President for Research and shall comply with the provisions stated in the University Copyright Policy.

IV. University Copyright Appeals Committee

A University Copyright Appeals Committee shall review the application of this policy and shall submit its recommendations to the President in the event of disagreement between the employee and the Vice President for Research. Either the employee or the Vice President for Research may request a review. The Copyright appeals Committee shall be appointed by the President from nominations submitted by the University Senate and shall function in accordance with policies and procedures established by the Committee and reviewed by the University Senate.

3.2 Auburn University Patent Policy

Introduction

This document constitutes the patent policy of Auburn University and applies to Auburn University faculty and other employees and students in the areas of discoveries, inventions and patents for the benefit of the public. The patent policy embodies both the procedural and substantive aspects concerning discoveries, inventions and patents as set out in Sections 1.0 and 2.0 and as summarized in the next paragraph. The policy has been developed to insure that prospective inventors are aware of the assistance available to them and the steps necessary to insure that a patentable idea reaches fruition. It was developed under the philosophy that by patenting an idea it not only offers an opportunity for personal reward but helps to promote the use of the patentable idea. Many unprotected ideas will not be utilized by private industry because of the high risk in capital investment. Thus, many ideas are lost to the economy. Auburn University faculty, other employees, and students shall report to the University through the Secretary-Director of the Auburn Research Foundation, all discoveries or inventions deemed patentable arising from research or other activities conducted within the field of their official duties and responsibilities or programmed or substantially supported by the University. Such potentially patentable discoveries and inventions should be reported using the disclosure of invention form available from the Secretary-Director. Inventors are cautioned that a patent application must be filed within a year after open publication of the disclosure of an invention or the idea becomes part of the public domain and unpatentable.

The University's equity, if any, in inventions or discoveries of faculty members, other employees and students made outside the scope of their official duties and responsibilities but in which there is some use of University facilities will be determined by the University. The University's equity in inventions arising from projects conducted by students and faculty or employees as a part of formal instruction or thesis projects will also be determined by the University. The ownership and control of patent rights to patentable discoveries and inventions resulting from research sponsored by industrial or governmental agencies will be determined on the basis of the contractual agreement between the sponsor and the University. The University's equity in discoveries and inventions not covered by such contractual agreements will be determined by the University. Inventions and discoveries made or developed solely in the course of consulting work performed for outside agencies with the concurrence or approval of the appropriate Vice President shall not be considered having been made or developed in the course of University employment unless otherwise provided by the approving authority or unless a significant use of University facilities is involved. The equity in inventions arising from consulting engagements by faculty and other employees not having prior concurrence or approval by the appropriate Vice President will be determined by the University.

The policy is intended to encourage the patenting of discoveries and inventions and the development and utilization of patents for the benefit of the public and the inventors for all patents in which the University has an equity. Furthermore, the policy offers a mechanism for patenting discoveries and inventions of the faculty, employees and students in which the University has no equity but may acquire equitable interest in order to assist the faculty, other employees or students. The policy is general and reflects the tenor of Auburn University in its activities to assist prospective patentees develop their discoveries and inventions for patenting for the benefit of the public and the inventors.

1.0 Substantive Policy

1.1 Parties

This policy shall exist between Auburn University and all faculty, other employees and students of the University. This relation between the parties shall arise as a part of the employment contract between the University and its faculty and employees and shall constitute a condition of enrollment for all students and, prior to the use of any University facilities which might result in an invention or discovery, the individuals will execute a signed and witnessed agreement to this policy.

1.2 Duration of Policy

The policy shall be effective between Auburn University and each faculty member or other employee commencing with his employment and continuing for a period of one year subsequent to his termination of employment. Similarly, the policy shall be effective between the University and each student commencing with his enrollment and continuing for a period of one year subsequent to the termination of his last period of enrollment.

The policy is subject to change and a copy of the current policy will be kept on file in the office of the Secretary-Director of the Auburn Research Foundation.

1.3 Class of Intellectual Property Rights Affected

This policy covers patentable subject matter and patents but does not extend to copyrightable or copyrighted material. Patentable subject matter involving the act of invention covers:

1. Processes, machines, compositions of matter and other articles of manufacture. "Process" includes improvement of a known process or an entirely new method for making a composition of matter or article of manufacture.
2. Design.
3. Plants - Asexually and sexually reproduced plants, with some exceptions.

Invention involves:

1. Conception, a mental act;
2. Reduction to practice.

Unpatentable subject matter covers:

1. Discovery of natural phenomenon;
2. Product of nature (except antibiotics, vitamins);
3. Mere ideas or concepts;
4. Inventions relating to atomic weapons.

1.4 Equities of the Parties

1.4.1 Internally Sponsored Projects

The patent rights to inventions and developments resulting from research or other activities conducted by faculty, other employees or students within the field of their official duties and responsibilities or programmed or substantially supported by the University are retained by the University. Disposition of patent rights is handled by the University. However, the faculty members, other employees and/or students, who are the inventors of record may participate in the income from discoveries and inventions on which patents are obtained in accordance with Section 1.5.

In the event Auburn University does not elect within six months after submission of a disclosure to pursue a patent or patents on any discovery or invention, the inventor or inventors may request the release of all rights to the invention or discovery and they may dispose of and handle them as they desire.

The University or its agent will bear all costs of pursuing the obtaining of patents for all inventions and discoveries retained by the University, but these costs will be deducted from the proceeds prior to any payments to the inventor or inventors.

1.4.2 Personal Research

In order to provide incentive and encouragement to faculty members, other employees and students of the University in pursuing their personal research interests outside the scope of their official duties and responsibilities and not programmed or substantially supported by the University although slight use may be made of University facilities, any resulting invention or development which may be patentable may be submitted to the University for acceptance or rejection, or may be disposed of and handled by the inventors as they desire. However, all personal discoveries or inventions will be reported to the University, regardless of submission for acceptance or rejection by the University for a determination in accordance with this section.

Generally, projects conducted by students and faculty or employees as a part of formal instruction or thesis projects are considered personal research and outside the scope of official duties and responsibilities and programming unless such thesis projects are conducted as a part of a contractual research effort or substantially supported by the University.

Faculty, other employees and students submitting patentable ideas and discoveries resulting from personal research to the University accepted for patenting will participate in the income from these patents in accordance with Section 1.5. The University or its agent will bear the costs of pursuing the obtaining of patents for all accepted inventions and discoveries, but these costs will be deducted from the proceeds prior to any payment to the inventor or inventors.

1.4.3 Industrial Research

The ownership and control of patent rights to patentable discoveries and inventions resulting from research sponsored by industry at the University are determined by the contractual arrangement between the sponsor and University. In general, the University retains ownership and control of the patents; however, if required by the sponsor, the University will assign and convey to the sponsor under the contractual arrangements rights to all patentable discoveries and inventions resulting from the sponsored research. Where the University retains ownership and control of patents resulting from sponsored research, the University treats these patents the same as though resulting from its own research and Section 1.4.1 is applicable.

1.4.4 Government Research

Auburn University complies with the government patent policies as set forth by the various Executive Departments and Agencies of the Federal government. The question of ownership and control of patents resulting from Federally or State supported research is determined in each specific contract. Contracts with the State of Alabama shall be governed by Section 1.4.1 unless otherwise provided.

1.4.5 Consulting

Faculty and other employees desiring to perform consulting work for outside organizations are required to obtain the prior concurrence in accordance with current University policy.

Inventions and discoveries made or developed solely in the course of consulting work performed with prior concurrence in accordance with current University policy shall not be considered as having been made or developed in the course of University employment unless otherwise provided in the concurrence or unless a significant use of University facilities is involved, in which case the University will determine whether or not Section 1.4.2 or other section applies.

Inventions arising from consulting engagements by faculty and other employees not having prior concurrence or approval by the appropriate Vice President and involving substantial use of University facilities will be governed by Section 1.4.1, notwithstanding any agreement between the consultant and his client. Students working with faculty on consulting projects are governed by this same policy.

1.5 Division of Equities

Faculty, other employees and/or students as inventor or co-inventors may receive jointly percentages of the net proceeds as indicated below:

30% of Net Proceeds with Net Proceeds being Up to \$100,000

25% of Net Proceeds with Net Proceeds being the Next \$100,000

20% of Net Proceeds with Net Proceeds being the Next \$100,000

15% of Net Proceeds with Net Proceeds being everything over \$300,000

The net proceeds is defined as the proceeds minus all costs of obtaining the patent and of defending and/or marketing the patent. The percentage of net proceeds to the inventor or co-inventors will be distributed annually.

1.6 Agreement as to Division of Equities

Auburn University shall, if it determines that more than one individual is entitled to an equity in an invention or discovery, determine the manner in which the equity awarded to the group shall be divided among the individuals constituting the group, provided, however, that if such individuals have agreed among themselves, such agreement shall be conclusive.

1.7 Assignment of Equities

Notwithstanding any determination of Auburn University, or any other provision of this policy, faculty, employees and students shall have no equities or rights whatsoever in inventions and discoveries belonging to the University unless and until a written agreement has been executed by the University and University faculty, other employees and/or students consistent with the determination of the University guided by this policy.

The inventor or inventors are required to execute such as assignments and other documents that the University determines to be necessary in obtaining the patent.

1.8 Effective Date of this Policy

This policy is effective as of the date of its signing by the President of Auburn University. Nothing in the Auburn University Patent Policy shall be deemed to change any agreements made under previous policies.

2.0 Procedural

2.1 Inventors

All University faculty, other employees and students shall report to Auburn University through the Secretary-Director of the Auburn Research Foundation any ideas or discoveries deemed patentable arising from situations described in Section 1.4 using a disclosure of invention form, available from the Secretary-Director. Inventors are cautioned that a patent application must be filed within a year after open publication of the disclosure of an invention or the idea becomes part of the public domain and unpatentable.

2.2 Auburn University

Auburn University shall consider promptly all reports of inventions and discoveries and shall make the determinations required herein within a reasonable time and in no case longer than six

months. The University personnel or students involved shall be entitled to appear before the Secretary-Director of the Auburn Research Foundation and present evidence to the report. The University's determination shall be made in writing and shall contain a statement of findings and grounds for decision. In all cases where the University declines to pursue a patentable idea or potential patent the ownership of the rights to such idea or patent are released in to the inventor/s unless prior restraints exist between the University and a sponsoring agency. The University shall maintain the confidentiality of all patentable ideas so as not to jeopardize the patentability of such ideas.

The University shall have the right to determine how and for what consideration any patent rights assigned to the University will be used.

2.3 Dissemination of this Policy

This policy shall be published in the Faculty Handbook or other appropriate document distributed to the faculty and employees and the Student Policy eHandbook, the official publication for students of Auburn University. The policy shall be referenced in initial employment papers of faculty and other employees of Auburn University, Administrative Digests and other appropriate documents for faculty, other employees and students.

THIS POLICY WAS APPROVED THE 15th DAY of MARCH, 1974 by then President of Auburn University, Harry M. Philpott

Executive Committee Resolution

Proposed Change In Auburn University Patent Policy

WHEREAS, Auburn University, through its research and other creative endeavors, strives to originate and disseminate new processes holding promise of increasing technological advancement; and

WHEREAS, an incentive for faculty involvement in the development and transfer of technology to the private sector is the prospect of their sharing in the royalty proceeds and similar income generated from marketing an invention or discovery; and

WHEREAS, the Vice President for Research and others have proposed that the Auburn University Patent Policy be revised to permit allocation to the inventor of an increased share of invention royalty net income.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of Auburn University that William V. Muse, President, or such other person as may be acting as President, be and the same is hereby authorized to change Paragraph 1.5, of the existing Auburn University Patent Policy as provided below:

- a. The inventor or inventors will receive 50 percent of the first \$100,000 of net royalty; 40 percent of the second \$100,000; and 30 percent of all net royalty income over \$200,000.
- b. Net royalty income will be determined by the following method:

First, all out-of-pocket University expenses for obtaining, defending and marketing the patent will be recovered. Second, a 15 percent administrative charge will be used to provide resources to encourage invention disclosures and to process these in a timely manner, and to facilitate the transfer and commercialization of discoveries and inventions.

BE IT FURTHER RESOLVED that this policy revision is effective upon approval, with respect to all royalty and similar income received after said effect date.

Approved August 20, 199

Section 4

Centers and Institutes

4.1 Establishment of Centers and Institutes Policy

Due to the increasing complexity and interdisciplinary nature of many instructional, research, and outreach programs, traditional academic departments may not have sufficient diversity in their faculty or adequate facilities and resources to allow such programs to reach their full potential. Under these circumstances, it will be the policy of Auburn University to establish Centers and Institutes to facilitate the management and development of these programs, providing they also fulfill the following criteria.*

1. The Center or Institute is consistent with the University's mission and priorities.
2. The program represents a well-defined area of instruction, research, or outreach involving faculty and resources from more than one (1) discipline, Department, College, or School.
3. The University has existing strengths and resources in the programs, including a critical mass of faculty and a demonstrated commitment on the part of the involved faculty and administration to actively participate in the Center or Institute.
4. The Center or Institute will enhance instruction, research, or outreach programs in Colleges and Schools and provide more effective administration of programs.
5. Establishment of a Center or Institute will provide the program greater visibility and increased potential for extramural funding.

*The difference between Centers and Institutes will be a matter of degree--that is to say, Institutes will be very large programs involving a number of Departments, Colleges and/or Schools, or external partners. The Center designation will always be used for interdisciplinary or interdepartmental programs in a single College or School.

ADMINISTRATION OF CENTERS AND INSTITUTES

Each Center or Institute will have a Director who is responsible for the day-to-day administration of the program. Such arrangements may vary from a part-time director who receives release time from other University responsibilities to a full-time director whose primary responsibility is the administration of the Center or Institute.

While ordinarily all Centers and Institutes will ultimately be the responsibility of a Vice President or the Provost,** it is essential that the academic deans be directly involved in the administration of Centers and Institutes. This involvement is important because all such programs will have an impact on resource allocations in Colleges and Schools and will require special attention to the appointment and evaluation of participating faculty. For these reasons, all Centers and Institutes involving more than one (1) College or School shall have an Administrative Board that includes the deans from the participating Colleges and Schools, as well as appropriate department heads/chairs and faculty members. The director of the Center or Institute will report to this Administrative Board which, in turn, will report to the appropriate Vice President. When Centers involve interdisciplinary or interdepartmental programs within a single College or School, the director will report to the dean of that College or School.

All Centers and Institutes should undergo external review at least every five (5) years to assess quality and effectiveness of programs.

PROCEDURE FOR ESTABLISHING CENTERS AND INSTITUTES

After detailed review and consultation with appropriate faculty and administrators, the appropriate Vice President or Provost may separately or jointly recommend to the President of the University the establishment of a Center or Institute.

When, in the opinion of the President, a program of instruction, research, or outreach fulfills the criteria set forth in this Policy Statement, he or she may authorize the establishment of such Centers and Institutes. If establishment of a proposed Center or Institute requires new funding in excess of \$100,000, Board approval is also required. It will be the President's responsibility, at regular intervals, to report to the Board of Trustees, as a matter of information, on the establishment of Centers and Institutes.

* This policy addresses administrative or management structures for interdisciplinary activities. The Policy does not extend to the use of the terms "Centers" or "Institutes" in connection with non-interdisciplinary programmatic activities.

** For Centers and Institutes created on the Auburn Montgomery Campus the functional counterpart to a Vice Presidents or the Provost will fulfill these responsibilities.

Chapter 7

Extension and Outreach

Introduction

Section 1 Continuing Education	1.1 CEU Policy and Reporting Guidelines for Non-Credit Instruction and Outreach Activities
Section 2 Summer Programs	2.1 Auburn University Summer Camp Policy Manual

Introduction

Among Auburn University's three principal missions is outreach, the application of university expertise beyond the traditional campus setting to the benefit of external constituents. Auburn's outreach mission is defined by its historical designation as a land-grant university and its comprehensive base of programming across the institution. These activities are coordinated by the Assistant Vice President for University Outreach. They involve substantial contributions made by numerous university entities including units in University Outreach, the Alabama Cooperative Extension System, and programs in the academic departments. In all, there are more than 75 outreach centers and program offices across campus, Extension offices in all 67 counties statewide, and a number of outreach-related institutional partnerships nationally and globally.

There are three major forms of outreach programming at Auburn University: non credit professional continuing education, training and academic enhancement courses; expert technical assistance, consultative services and clinical operations; and community partnerships and enrichment programs open to the public. These programs address a broad array of educational, economic, agricultural, environmental, community, home and individual development interests in the state, nationally and globally.

Auburn University is classified by the Carnegie Foundation for the Advancement of Teaching as a "community engaged institution," the highest such recognition for a university's curricular engagement and outreach partnerships. As such, Auburn stands as an exemplar among its peer institutions as an interdisciplinary source for lifelong learning, information and expert assistance, and civic engagement for the public good.

Notably, faculty have a significant involvement in the majority of outreach produced at the university. Faculty engagement in outreach improves the quality of life in Alabama and beyond, and also provides them valuable experience and insights that can inform their teaching and research. Thus, outreach is both an expression of the faculty's disciplinary expertise and an important part of scholarly development.

Outreach activity is an integral component of faculty scholarship in consideration for promotion and tenure at Auburn University. The university recognizes engaged scholarship as the application of academic expertise to the direct benefit of external audiences in support of university and unit missions. Thus, outreach scholarship generally is assessed for the impact of the engagement with the community, its relationship to the faculty member's approved teaching and research assignments, and its contribution to departmental goals and objectives. Faculty with extension assignments or performing outreach as part of an extension program would be assessed against both departmental goals and the Extension System's programmatic objectives. General policies related to faculty instruction, research and outreach assignments are outlined within Chapter 3 of the Faculty Handbook; faculty should also refer to their departmental promotional and tenure guidelines for specific details related to the recognition of outreach scholarship in their academic assignment.

Other university policies and procedures relevant to faculty engagement and the performance of outreach include:

Continuing Education Unit (CEU) Policy and Outreach Reporting Guidelines –

In compliance with national standards of practice for non-credit programming, this policy provides for the uniform application of continuing education units (CEU) and central documentation of outreach activities. All non-credit continuing education and professional development designed and delivered by faculty are covered by this policy. Programs awarding CEUs for non-credit instruction must be approved in advance by the university CEU officer in the Office of Public Service. Outreach activities not carrying CEU awards also should be reported by faculty to OPS utilizing the same procedures. The complete CEU policy and reporting guidelines are available at the university's central policy website and at the University Outreach and Office of Public Service websites.

Summer Camp and Summer Coordinating/Scheduling policy –

Faculty play a major role in organizing and hosting a wide variety of camps, clinics, workshops, and conferences each summer. This policy outlines procedures for recognition of official summer activities and coordination of summer space utilization of university recreational facilities. These guidelines specifically address residential summer programs which include participants under the age of 18 (eighteen) years who may remain overnight in on-campus residence halls. This policy is available through the at the university's central policy website and at the University Outreach and Office of Professional and Continuing Education websites.

Human Subjects Research –

As part of their scholarship, faculty may present information about their engagement in a variety of manuscripts, technical reports, and academic conferences. Outreach activities involving human subject research must be approved by the Auburn University Institutional Review Board (IRB) in advance. Faculty should consult the Office of Human Subjects Research website for specific guidelines on these policies.

Section 1

Continuing Education

1.1 CEU Policy and Reporting Guidelines for Non-Credit Instruction and Outreach Activities

Definitions, use, criteria and guidelines for Continuing Education Units; procedures for calculating CEU awards, outreach reporting and CEU approval

<https://sites.auburn.edu/admin/universitypolicies/Policies/ContinuingEducationUnitPolicyandReportingGuidelines.pdf>

Section 2

Summer Programs

2.1 Auburn University Summer Camp Policy Manual

Rules and regulations for conducting summer instructional programs involving participants who are under 19 years of age or who remain overnight in on-campus residence halls

<https://sites.auburn.edu/admin/universitypolicies/Policies/AuburnUniversitySummerCampPolicies.pdf>

Chapter 8	
Extramural Activity of Faculty	
Introduction	
Section 1 Outside Employment	1.1 Consulting Policy
	1.2 Concurrent Appointments
Section 2 Government Relations	2.1 Institutional Employees as Candidates for Public Office
	2.2 University-Legislative Relationships and the Faculty Member

Introduction

Beyond their regular assignment, Auburn University faculty often engage in extramural activities, including consultation, additional employment, and civic engagement. The policies in this chapter govern faculty work beyond their Auburn University assignment.

Section 1 **Outside Employment**

1.1 Consulting Policy

GENERAL CONSIDERATIONS

Although the primary function of Auburn University is to render service to the people of Alabama through its established programs of instruction, research, and extension, the University recognizes its obligation to make available the services of the many highly trained specialists on its faculty to business, industry, governments, professional societies, or other appropriate groups. Moreover, outside services of a professional nature generally strengthen the faculty member and contribute to improvement of teaching and research programs. Therefore, the University encourages the involvement of its faculty in extramural activities which are consistent with their primary responsibilities to the institution. These activities typically invite a faculty member to use his or her specialized knowledge to provide advice or judgment about a problem, situation, or area of scholarship in an academic discipline.

Because of the increasing prevalence of various consulting and extramural activities, however, and in view of the inherent problems relating to these, the following guiding principles and policies have been established to prevent conflicts of interest, interference with University functions, or unethical practices:

1. The major criteria to be used in determining whether a particular extramural activity shall be encouraged or permitted are:
 - a) The effect of the activity on the individual and the University, professionally and academically.
 - b) The extent to which the activity will complement the University's programs or interfere with the effective discharge of the faculty member's responsibilities to the University. These responsibilities include not only formal classroom and laboratory activities, but also such other duties as student counseling, committee work, preparation of scholarly publications, and continued professional development.
2. It is the responsibility of the department head/chair and dean or director to exercise judicious control of consulting activities so that no University functions are neglected. It is the faculty member's responsibility to ensure that his or her teaching is covered during the approved consulting period.
3. The following joint American Association of University Professors and the American Council on Education policy statement "On Preventing Conflicts of Interest in Government-Sponsored Research at Universities" has been adopted as Auburn's basic policy on conflicts of interest (AAUP Redbook, 1990, pp 83-85):

The increasingly necessary and complex relationships among universities, government, and industry call for more intensive attention to standards of procedure and conduct in government-sponsored research. The clarification and application of such standards must be designed to serve the purposes and needs of the projects and the public interest involved in them and to protect the integrity of the cooperating institutions as agencies of higher education.

The government and institutions of higher education, as the contracting parties, have an obligation to see that adequate standards and procedures are developed and applied; to inform one another of their respective requirements; and to ensure that all individuals participating in their respective behalves are informed of and apply the standards and procedures that are so developed.

Consulting relationships between university staff members and industry serve the interests of research and education in the university. Likewise, the transfer of technical knowledge and skill from the university to industry contributes to technological advance. Such relationships are desirable, but certain potential hazards should be recognized.

4. The President is directed to formulate, implement and publicize procedures to enforce this policy as required by applicable regulations.

Conflict Situations

1. *Favoring of outside interests:* When a university staff member (administrator, faculty member, professional staff member, or employee) undertaking or engaging in government-sponsored work has a significant financial interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest between government-sponsored university research obligations and outside interests and other obligations. Situations in or from which conflicts of interest may arise are the:
 - a) Undertaking or orientation of the staff member's university research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the university and to the sponsoring agency;
 - b) Purchase of major equipment, instruments, materials, or other items for university research from the private firm in which the staff member has the interest without disclosure of such interest;
 - c) Transmission to the private firm or other use for personal gain of government-sponsored work products, results, materials, records, or information that are not made generally available (this would not necessarily preclude appropriate licensing arrangements for inventions, or consulting on the basis of government-sponsored research results where there is significant additional work by the staff member independent of the government-sponsored research);
 - d) Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's government-sponsored activities (the term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements);
 - e) Negotiation or influence upon the negotiation of contracts relating to the staff member's government-sponsored research between the university and private organizations with which the staff member has consulting or other significant relationships;
 - f) Acceptance of gratuities or special favors from private organizations with which the university does, or may conduct, business in connection with a government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring government agency, under circumstances which

might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

2. *Distribution of effort:* There are competing demands on the energies of faculty members (for example, research, teaching, committee work, outside consulting). The way in which a faculty member divides his or her effort among these various functions does not raise ethical questions unless the government agency supporting the research is misled in its understanding of the amount of intellectual effort the faculty member is actually devoting to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of faculty members, since the various functions they perform are closely interrelated and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a faculty member will devote a certain fraction of effort to the government-sponsored research, or the faculty member agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of the faculty member's involvement is to be expected. Each university, therefore, should- through joint consultation of administration and faculty--develop procedures to ensure that proposals are responsibly made and complied with.
3. *Consulting for government agencies or their contractors:* When the staff member engaged in government-sponsored research also serves as a consultant to a federal agency, such conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202-209 as amended) and the president's memorandum of May 2, 1963, Preventing Conflicts of Interest on the Part of Special Government Employees. When the staff member consults for one or more government contractors, or prospective contractors, in the same technical field as the staff member's research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on the individual's other interests. In undertaking and performing consulting services, the staff member should make full disclosure of such interests to the university and to the contractor insofar as they may appear to relate to the work at the university or for the contractor. Conflict-of-interest problems could arise, for example, in the participation of a staff member of the university in an evaluation for the government agency or its contractor of some technical aspect of the work of another organization with which the staff member has a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

Full time faculty members may be allowed to consult and/or be involved in appropriate continuing education and public service activities for extra compensation a maximum of one work day per week with the consent of their department head/chair and appropriate dean or director. Exceptions to this policy must be approved by the Provost upon recommendation of the department head/chair, dean or director. Consulting and internal activities for extra compensation

will be counted against this maximum of one day per week; travel days must be counted as consulting time. This policy is not intended to limit consulting activities of faculty outside the normal work day, during vacation leave, or during the summer for nine-month employees not employed by the University for the summer semester.

A formal application, the Consulting Form, must be filed at least five working days in advance for permission to engage in extramural activities other than the traditional functions in professional, scholarly, or honor societies. The Consulting Form must be approved by the faculty member's department head/chair and dean or director and by the Provost. Copies of approved applications shall be maintained in the Office of Institutional Research and Assessment.

Auburn University will assume no responsibility for the competence of its faculty members with respect to the performance of extramural professional activities, except those carried out under the auspices of established programs operated by the University.

In connection with extramural professional activities arranged outside established University programs, the name of Auburn University shall not be used for advertising or promotional purposes or in any report or statement that implies approval or endorsement by Auburn University.

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

1.2 Concurrent Appointments

The University's policy permits a faculty member to be employed full-time and to accept an appointment in another institution to teach a course of not more than 3 semester hours, or the converse, under the following conditions designed to protect the University's academic programs and the welfare of the faculty.

Each case is to be considered on its individual merits and must be approved in advance by the Provost.

The conditions of the concurrent appointment must be set forth in a memorandum of understanding stating explicitly the responsibilities of the individual to each employer. This document must be signed by the individual's immediate supervisor(s) in each institution or

organization; in the case of educational institutions, both department head/chair and dean are to sign.

The nature and requirements of the work assignments must be such as to permit the full-time Auburn University faculty member who holds a concurrent appointment with another institution to discharge his or her responsibilities to Auburn University at the same level of quality expected of all other faculty members, with respect not only to classroom performance, but also to the other professional and academic activities (including informal assistance to students) traditionally associated with University faculty appointments. Since joint appointments for teaching, research, and extension are inherently very demanding on a person's time and energy, faculty members on such appointments generally will not be approved for concurrent appointment with another institution or organization.

Since a person employed full-time by another institution or organization and concurrently teaching a course for Auburn University cannot devote the necessary time to the many professional and academic activities traditionally associated with University faculty appointment, the salary for the part-time appointment will be less than the proportionate amount calculated on the basis of the fractional load represented by the number of hours taught. Generally, the compensation will be a specified amount based on the number of hours for the course.

Since continued overload appointments for long periods inherently endanger the welfare of the faculty member or affect unfavorably the quality or quantity of his or her work, such appointments for extended periods should be discouraged.

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

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

Section 2

Government Relations

2.1 Institutional Employees as Candidates for Public Office

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

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

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

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

Such persons, so resigning, shall do so without guarantee by Auburn University that they may be re-employed in the event they fail of election; or, if elected, that they may be re-employed while holding an elective office; or that they may be re-employed at the expiration of the term of office for which they have been elected.

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

2.2 University-Legislative Relationships and the Faculty Member

Auburn University cooperates with all appropriate elements of state government and is often requested to supply information to legislative committees and sub-committees. Since University faculty may at times be involved in such activity, they should observe the following principles of institutional policy:

The University Administration should be informed in advance of a faculty member discussing with the Legislature any program development involving institutional commitment of funds or other resources.

Only the President or individuals designated by him or her are authorized by the Board of Trustees to interpret or describe official policy positions and decisions of the University before legislative committees and sub-committees.

Faculty giving testimony, rendering opinions, or providing information to such legislative bodies should make clear that they are acting in their capacity as citizens and not, unless thus officially designated, as spokespersons for the University.

Since faculty are often requested to appear as authoritative witnesses in controversial issues involved with the public interest, they should also make clear that their testimony is that of individual citizens and not a statement of Auburn University policy or opinion.