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University of South Alabama

Faculty Handbook

October 2014



The USA Faculty Handbook provides information concerning policies and procedures of the University that affect academic units and faculty members. Reasonable efforts are made to cover all important matters and to ensure that the contents are accurate and up-to-date. If any policy areas have been omitted or are not stated clearly, or if ambiguities or inconsistencies are found to exist, decisions regarding such will be made by appropriate officials of the University.

This handbook will be revised periodically. The revision process will include appropriate consultation with academic officials and the Faculty Senate. Information on matters of a legal or regulatory nature that the University is mandated to address in the Faculty Handbook will be provided expeditiously to members of the academic community.

The University also reserves the right to amend, revise, or alter the contents of this Handbook as it deems necessary. The date on the front page of the Handbook on the website will indicate the date of the latest revision. Inquiries regarding the information contained herein should be directed to the Office of the Senior Vice President for Academic Affairs, which maintains the Handbook.

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1.0 UNIVERSITY INFORMATION

1.1 University History and Overview

The University of South Alabama was created by Act of the Alabama State Legislature and approved May 9, 1963, as a comprehensive institution of higher education. All provisions relating to the establishment and operation of the University of South Alabama embodied in the Act are found in Sections 16-55-1 through 16-55-9, Code of Alabama 1975.

Serving as a major center of high quality and accessible undergraduate, graduate and professional education for Mobile, the State of Alabama, the Gulf Coast Region, and the Southeastern United States, the University actively embraces the functions of teaching, research, public service, and health care through which it vigorously pursues the preservation, discovery, communication, and application of knowledge. As it grows and develops, the University will focus its strengths to produce programs of interdisciplinary excellence that address the special needs of the people it serves.

The University of South Alabama includes the main campus in west Mobile, the USA-Springhill Avenue Campus, USA Medical Center, USA Children's and Women's Hospital, the Mitchell Cancer Institute and the USA-Baldwin County Campus.

Academic programs are offered through the Colleges of Arts and Sciences, Education, Engineering, Medicine, Nursing, the Pat Capps Covey College of Allied Health Professions, the Mitchell College of Business, and the Schools of Computing and Continuing Education and Special Programs.

1.2 University Mission

The mission of the University of South Alabama, with a global reach and special focus on the Gulf Coast, strives to make a difference in the lives of those it serves through promoting discovery, health and learning.

1.2.1 Vision

The University of South Alabama will be a leading comprehensive public university internationally recognized for educational, research, and health care excellence as well as for its positive intellectual, cultural, and economic impact on those it serves.

1.2.2 Strategic Goals (2014-17)

- Maintain and enhance an innovative and vibrant educational environment that supports teaching and promotes learning.
- Advance the research, discovery, and creative activities of the University.
- Enrich the quality of student life and the living/learning environment.

- Deliver high-quality health care programs that enhance the health and well-being of the community.
- Strengthen financial support of the University using strategies that recognize and address financial and market realities in higher education.
- Expand and extend the cultural, public service, athletic, and economic development impacts of the University.

1.3 University Symbols

The University seal and logo are official symbols of the University and are used only on formal official documents. The graphic identity of the University is significant in properly representing the university's image. The USA logo may be used on stationary, documents (including electronic), and other printed media that represent the University. Any alterations of the logo or new logo designs are not permitted. The logo may be used in any format and size as long as the integrity of the design is preserved. When department names are required, they must be placed outside the logo design. The University of South Alabama Hospitals logo, is the only exception as it contains the name inside the logo design. Conditions of Use may be viewed at <http://www.southalabama.edu/webservices/conditions.html>.

1.4 University Honorary Doctorate Degree

1.4.1 Purpose

The honorary doctorate degree is the highest honor bestowed by the University among the various awards given beyond the granting of earned degrees. The honorary degree is not equivalent to nor a replacement for an earned degree. The University reserves the right to revoke an honorary doctorate degree.

The honorary degree is awarded to:

- Recognize and honor exceptional individuals who have given a substantial part of their lives to serving others and who have distinguished themselves throughout Their professional careers and/or volunteer service;
- Establish a public association between the University of South Alabama and such exceptional individuals, thereby providing testimony to the values and quality of the University; and
- Assist the University of South Alabama with its goals and objectives in the areas of educational programming, scholarly and creative activity, service, and institutional advancement.

1.4.2 Eligibility and Guidelines for Selection

Primary consideration shall be given to individuals whose achievements and contributions include a significant degree of creativity, resourcefulness, humanitarian concern, personal

dedication, intellect, and other qualities consistent with the intent of the honorary degree. An honorary doctorate degree may be granted to an individual who:

- Has achieved distinction in his/her profession;
- Has made an outstanding contribution or rendered an outstanding service to the University of South Alabama;
- Has made a significant public or scholarly contribution, or
- Has achieved personal status that will enhance the reputation of the University of South Alabama.

Individuals who are connected in some meaningful way with the State of Alabama or with the University of South Alabama will be given special consideration.

Honorary doctorates normally are not awarded to current faculty, administrators, or members of the Board of Trustees.

1.4.3 Nomination and Selection Process

The University Honorary Doctorate Degree Committee is appointed by and makes recommendations to the President for the awarding of honorary degrees. The committee is appointed by the President and is co-chaired by the Senior Vice President for Academic Affairs and the Vice President for Health Sciences. In addition to these vice presidents, the committee consists of one academic dean and three faculty members, including at least one faculty member nominated by the President of the Faculty Senate. Except in unusual circumstances, the process for nominating and selecting candidates for the honorary doctorate degree shall be as follows:

1. The Senior Vice President for Academic Affairs and Vice President for Health Sciences shall accept nominations for honorary doctorate degrees from members of the University of South Alabama community.
2. Nominations should include appropriate biographical information about the nominee as well as a description of the nominee's accomplishments that warrant consideration for the honorary degree.
3. The nominee(s) receiving 2/3 vote of approval by the Honorary Doctorate Committee will have their name(s) sent forward to the President.
4. The Honorary Doctorate Degree Committee will deliver its recommendations to the President at least two weeks before the Board of Trustees meeting immediately prior to the commencement ceremony at which the degree would be awarded.
5. The President shall review the recommendations of the committee and submit his/her recommendations to the Board of Trustees for consideration.

1.4.4 Awarding of the Honorary Doctorate Degree

Following approval by the President of the University and the Board of Trustees, the name(s) of the honorary doctorate degree recipient(s) will be announced to the public and the appropriate degree(s) will be conferred during the University's Commencement exercises.

1.5 University Compliance

1.5.1 State Ethics Law

The University of South Alabama and its employees are subject to all applicable provisions of ethics laws and regulations of the State of Alabama.

1.5.2 Policy of Non-Discrimination and Equal Opportunity/Equal Access

Equal Opportunity/Equal Access Policy

The University of South Alabama is an Equal Opportunity/Equal Access Employer. The policy of the University is to affirm and dedicate itself to a primary principle of equal opportunity and non-discrimination. To this end, Equal Opportunity/Equal Access is a policy required in actions of recruitment, employment, transfers, promotions, compensation, benefits, and other terms and conditions of employment or in the administration of any educational program or activity by the University of South Alabama. The University does not discriminate on the basis of race, sex (including pregnancy), sexual orientation, religion, color, national origin, age, or genetic information. The University does not discriminate on the basis of disabled veteran, Vietnam Era veteran, newly separated veteran, or other protected veteran status. Further, no otherwise qualified person with a disability, solely on the basis of such disability, will be excluded from participation in, denied the benefits of, or be subjected to discrimination in the administration of any educational program or activity, including admission or access thereto, or treatment of employment therein by the University of South Alabama.

The University will make efforts to assure that all building and purchasing contracts are with firms or contractors subscribing to Equal Opportunity/Equal Access regulations.

It is the intent of the University of South Alabama, consistent with this policy of Equal Opportunity/Equal Access, to be fair and impartial in all of its relations with employees and to recognize and respect the dignity of the individual. In furtherance of this policy, the University maintains an environment ensuring full utilization and reward of the individual employee's effort, achievement, and cooperation. Any questions regarding the University's Equal Opportunity/Equal Access policy should be addressed to the Senior Vice President for Academic Affairs.

The University will afford every employee impartial treatment and a fair opportunity to seek advancement in the organization without prejudice as the employee's ability and performance warrants and vacancies occur.

All faculty, administrative, management, and supervisory personnel will provide leadership in support of this policy.

1.5.2.1 Strategic Diversity Plan

The purpose of the Strategic Diversity Plan is to define and clearly identify, within a legally sustainable structure, goals and measureable outcomes for diversity at the University of South Alabama. The plan is monitored annually and can be found at <http://www.southalabama.edu/strategicdiversityplan/>

1.5.3 Equal Opportunity/Equal Access Complaint Procedures

Any person who believes that he/she, or any class of individuals, has been subjected to unlawful discrimination based upon sex (including pregnancy), or sexual orientation, or unlawful discrimination or harassment based on race, religion, color, national origin, age, disability, protected veteran status, or genetic information may file a complaint pursuant to appropriate University procedures as indicated below.

Any person may file a complaint on his/her own behalf, or on the behalf of another person. All persons are encouraged to utilize the procedures set forth in this section in order to resolve any such dispute(s). Filing a complaint in good faith will not subject a person to any form of adverse action, reprimand, retaliation, or otherwise negative treatment by the University of South Alabama.

Complaints of unlawful discrimination or harassment brought against a faculty member or academic administrator are filed with the Senior Vice President for Academic Affairs (SVPAA) or Vice President for Health Sciences (VPHS), depending upon the academic division in which the alleged discrimination occurred. If the vice president of the division in which the complaint originated has been engaged in unsuccessful efforts at informal resolution, any resulting request for formal resolution of the same complaint is directed to the other vice president. Complaints against students or staff members are filed with the Dean of Students or the Assistant Vice President (or Manager, EEO) for Human Resources, respectively, and their respective procedures will be utilized.

Complaints against faculty members and academic administrators alleging sexual harassment or sexual violence are filed and processed pursuant to the Faculty Sexual Harassment and Sexual Violence Policy. Faculty grievances that do not allege unlawful discrimination/harassment as described in this section (1.5) are filed under the Faculty Grievance Procedures.

1. Informal Resolution

The purpose of the informal resolution procedure is to provide a person who feels that he or she has been unlawfully discriminated against, harassed, or experienced an intimidating, hostile or offensive environment on the grounds covered in this section an opportunity to resolve the problem informally. Every effort will be made to resolve complaints informally whenever possible. Legal representation is not allowed at informal resolution meetings.

Complainants seeking informal resolution should initially bring the complaint to the attention of an appropriate official of the University, i.e., department chair, dean, supervisor, or vice president. The person to whom the complaint is brought will assist the complainant in identifying the appropriate official to whom the complaint should be addressed: SVPAA or VPHS if the accused party is a faculty member or academic administrator; Dean of Students if the accused party is a student; or Assistant Vice President (or Manager, EEO) for Human Resources if the accused party is a staff member. If a resolution satisfactory to the complainant, the party complained against, and the University (as determined by the SVPAA or VPHS) can be reached at this point, the process will conclude. If not, the complainant may wish to proceed to the formal resolution process described below.

Those who receive complaints of discrimination or harassment will maintain such information in confidence to the extent feasible for the investigatory process to proceed.

Administrators and supervisors who receive complaints for informal resolution may become aware of apparent patterns of discriminating or harassing behavior on the part of a member of the University community or simply behavior that, while not illegal, is unacceptable in this employment context. If such a situation occurs, the appropriate administrator or supervisor, with or without informing the individual of specific complaints or complainants (at the discretion of the administrator or supervisor), should take prompt remedial action to address the subject behavior.

2. Formal Resolution

Complainants seeking formal resolution must file complaints with the SVPAA or the VPHS if the complaint is against a faculty member or academic administrator; the Dean of Students if the complaint is against a student; or with the Assistant Vice President for Human Resources if the complaint is against a staff member.

Such complaints should be filed within 180 calendar days of the most recent alleged discriminatory or harassing act and must be written and signed by the complainant. The University is not required to investigate reports that are not written and signed or that are submitted more than 180 days after the alleged incident. These complaints should contain the full name, University address, and telephone number of the person filing the charge and the name of the person alleged to have committed the discriminatory or harassing act. They also should contain a clear and concise statement of the alleged incident(s).

The following procedures are for complainants seeking formal resolution of complaints with the SVPAA or the VPHS. (Complainants seeking formal resolution of complaints filed with the Dean of Students or the Assistant Vice President for Human Resources will be handled according to their respective procedures.)

Initial Review of Complaint: When a complainant seeking formal resolution files a complaint received by the SVPAA or the VPHS, it will be reviewed to determine whether the alleged act is within the purview of this policy. If so, a copy of the complaint and a copy of the policy and procedures will be sent to the person accused. The person accused will be asked to respond to the complaint in writing within ten (10) working days. The respondent's answer shall contain full, direct, and specific responses to each claim in the complaint. On receipt of the response, the SVPAA or the VPHS will meet with both complainant and accused either separately or together to try to resolve the complaint. These meetings are understood to be informal and to exclude legal representation. If the complaint cannot be resolved in this manner, a committee will be appointed to investigate the complaint and determine whether a violation of the policy has occurred.

Appointment of Committee

Within thirty (30) days of meeting with the parties to the complaint, the SVPAA or VPHS will appoint a committee of five (5) individuals to consider the allegations in the complaint and the response of the accused individual. The committee shall be composed of two (2) faculty members selected from the Faculty Grievance Committee Pool, two (2) academic administrators, and one (1) student or non-academic administrator. (A student member will be included **only** if the complaint is brought by a student.) The complainant and the person accused shall have a right to challenge any person appointed to membership on the committee. To exercise the right to challenge, the challenging party must send a written notice to the SVPAA or VPHS within fourteen (14) working days of appointment, with copies sent to the other involved parties. The SVPAA or VPHS shall determine whether there is cause for disqualification of a committee appointee, and the decision shall be final. The ruling by the SVPAA or VPHS shall be issued within fourteen (14) days of the receipt of the challenge notice. This appointment process will continue until the composition of the committee is finalized. Once the committee is constituted, the SVPAA or VPHS shall appoint one of the members as chair.

Committee Proceedings: The committee will receive copies of the formal complaint and of the response by the accused. The committee chair shall convene the committee within fourteen (14) working days after the committee is constituted. At its initial meeting, the committee will review the Faculty Equal Opportunity/Equal Access Complaint Procedures and discuss the written complaint and written response. The committee shall determine, either solely on the basis of complaint and response of the accused or through a formal hearing, whether the policy has been violated. If the committee concludes that a formal hearing should be conducted to gather additional facts, clarify the allegations and/or responses, or otherwise to ensure that

the claim has been fully reviewed, the committee shall set a date, time, and place for a hearing and notify the complainant, the accused, and the SVPAA or VPHS. If, on the basis of its consideration of the complaint and response, the committee finds that no violation has occurred, the committee will report accordingly to the SVPAA or VPHS, stating the reasons for the decision. In that event, there shall be no further proceedings. Copies of the committee's decision shall be sent to both the complainant and the accused.

Procedural Rules

Unless overruled by a majority of the committee present, rulings of the chair shall be final on all questions except those pertaining to the initial determination and the substance of the findings and recommendations of the committee. The chair of the committee may establish such rules, within the general guidelines of these procedures, as deemed necessary.

Three (3) members of the committee, one of whom must be the chair, shall constitute a quorum for business transaction of the committee. No member who is absent during any part of the hearing may participate in the preparation of findings and recommendations of the committee.

At the hearing, information may be presented by the complainant, accused, witness(es), and committee, all in accordance with the procedures set forth below.

The chair of the committee shall:

- Call witnesses before the committee as requested by the complainant, the accused, and members of the committee;
- Maintain an orderly hearing, with the authority to exclude from the hearing any person whose conduct is disruptive or disorderly or attempts to subject any person to abusive treatment;
- Convey to all participants the seriousness of the proceedings and the necessity of their providing truthful and relevant testimony;
- Actively participate in questioning witnesses and reviewing information to ascertain the facts of the case.

Witnesses found unable to attend in the opinion of the committee may submit written or taped statements to the committee. Such inability to attend shall be found only in cases of serious illness or death of the witness or a family member or physical absence from the area due to pre-existing plans.

The complainant and the person accused shall be permitted to:

- Examine all information presented to the committee;
- Present information available to them and question witnesses;
- Present an oral and/or written statement, prior to the conclusion of the hearing.

The complainant and the person accused shall be permitted to be represented by any other member of the University community (faculty member, administrator, staff person, or student) who is willing to serve, with the exception of attorneys admitted to the practice of law before any State or Federal court. Any rights conferred on the parties at the hearing by these procedures may be exercised by their respective representatives. While the complainant and the complained against may consult attorneys, no attorneys may be present for the hearing or in any meetings regarding the complaint.

At the hearing, the members of the committee may ask questions of any witness, of the complainant, or of the person accused.

At the hearing, the following persons should be present: the committee members, the complainant, and the person accused and their respective representatives. If the person accused refuses to participate, the hearing will be conducted in his/her absence. Individual witnesses will be called to the proceeding by the committee and dismissed after questioning has been completed. Witnesses are to be instructed by the chair of the committee not to discuss with any other witnesses the information they presented to the committee. Because of the sensitive and confidential nature of the subject matter, the hearing shall be closed. The hearing will be conducted in a manner to protect the confidentiality of all parties to the extent feasible. Retaliation against any party as a result of his/her good faith activities in regard to bringing the complaint or participating in the investigation or proceedings will not be tolerated by the University. Any correspondence, notices, and evidence which is exchanged, shall be distributed to the complainant and to the person accused.

No audio recordings will be made of meetings, the hearing or the executive sessions of the committee.

Standard of Proof Required: The complainant has the burden of providing evidence of the alleged discrimination or harassment prohibited by this policy, as well as the burden of proving that it is more likely than not that the alleged discrimination or harassment occurred.

Findings and Recommendations

Following the conclusion of the hearing, the committee shall meet in executive session, with all other persons excluded, to prepare its findings and recommendations for sanctions (if appropriate). The decision of the committee as to whether or not the accused violated the policy or otherwise engaged in unacceptable behavior is final.

The committee may determine:

1. that the alleged conduct did not occur or does not constitute a violation. If so, the chair will provide written notice of this determination to the SVPAA or VPHS within three (3) calendar days of the decision, or;
2. that the alleged conduct constituted discrimination or harassment under the policy. If so, the chair will provide written notice to the SVPAA or VPHS of this

- determination, including recommended sanctions, within three (3) calendar days of the decision, or;
3. that while no violation of the policy occurred, nevertheless the committee found the behavior complained of unacceptable in the employment context and should be subject to correction either through remediation or disciplinary action, up to and including termination of employment.

Sanctions Permissible Pursuant to this Policy

The committee is authorized to recommend to the SVPAA or VPHS disciplinary actions that may include, but are not limited to:

- admonition not to repeat or to discontinue the discriminatory or harassing conduct;
- certification of completion of an educational program addressing discriminatory or harassing conduct;
- reprimand;
- reassignment of duties;
- reduction of salary, denial of pay increase, or other financial penalty;
- suspension without pay;
- termination of employment

Sanctions will be based upon the severity and/or recurrence of policy violations and/or unacceptable conduct.

Action by SVPAA or VPHS:

The chair shall deliver the committee's decision and recommended sanctions (if any) to the SVPAA or VPHS. The SVPAA or VPHS has the discretion to accept or modify the recommended sanctions. The decision of the committee regarding the disposition of the complaint and the decision of the SVPAA or VPHS regarding sanctions shall be final. No audio recordings will be made of meetings, the hearing, or the executive sessions of the committee.

1.5.4 Faculty Sexual Harassment and Sexual Violence Policy

I. Sexual Harassment Statement

The University of South Alabama is committed to an environment in which students, faculty, staff and guests are free from sexual harassment, including sexual violence/sexual assault. Sexual harassment is a form of sex discrimination prohibited under Title VII of the Civil Rights Act of 1964 and Title IX of the Educational Amendments of 1972, as well as the University's Non-Discrimination Policy. Sex discrimination, encompassing both sexual harassment and sexual violence, seriously undermines the atmosphere of trust and respect that is essential to a healthy work and academic environment and will not be tolerated by the

University. All members of the University community (including faculty, staff and students) must abide by this policy. Persons found to be in violation of this policy will be subject to disciplinary actions by the University – including, but not limited to – warning/reprimand, demotion, transfer, suspension, expulsion, dismissal, or termination. Under certain circumstances, moreover, acts of sexual harassment and sexual violence may result in criminal and/or civil sanctions.

All members of the University community are expected, and in some cases required, to report incidents of sexual harassment or sexual violence.

II. Definition

A. Sexual Harassment

For the purposes of University policy, sexual harassment includes, but is not limited to: verbal or non-verbal conduct that is intimidating, demeaning, hostile, or offensive with an inappropriate focus on sex, sexual history, individual gender-based characteristics, or sexual orientation; unwelcome verbal or physical advances; attempts to subject a person to unwanted sexual attention or to coerce a person into sexual relations; and/or retaliation for refusal to comply with sexual demands.

Sexual harassment is defined, further, as unwelcome 1) sexual advances, or 2) requests for sexual favors, or 3) other behavior of a sexual nature where:

- Submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment, academic standing, or participation in a University sponsored program or activity; and/or
- Submission to or rejection of such conduct by an individual is or may be used as the basis for an academic, employment, or other University decision affecting that individual; and/or
- Such conduct unreasonably interferes with an individual's academic and/or work performance, participation in University sponsored programs or activities, or it creates an intimidating, hostile or offensive working, educational or residential environment provided by the University.

Examples of sexual harassment include, but are not limited to:

- Sexually degrading words or gestures used to describe an individual;
- Unnecessary touching, patting, pinching, or brushing of another's body or clothing;
- Repeated sexual flirtation, leering, or ogling;
- Stalking, telephone, or computer harassment;
- Display of sexually demeaning objects, pictures, or cartoons in hallways, outdoor areas, offices, and rooms publicly accessible to members of the University community;

- Direct or implied threats or insinuations that an individual's refusal to submit to sexual advances will affect adversely the individual's status, evaluation, wages, advancement, duties, or career development.

Evaluative Factors for Sexual Harassment Allegations

Conduct alleged to be sexual harassment that does not include violence will be evaluated by considering the totality of the circumstances, including but not limited to the nature, frequency, intensity, location, and duration of the questioned behavior. Unwelcome conduct of a sexual nature can form the basis of a sexual harassment claim if a reasonable person, similarly situated, would consider it so unreasonable, severe, or pervasive as to interfere with academic, educational, or employment performance or participation in a University program or activity or residential environment.

B. Sexual Violence

Sexual violence means any physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. Lack of consent means that the person who has alleged the occurrence of sexual violence has not said "yes" or otherwise specifically and unambiguously indicated agreement to participate in the act, including instances in which she/he is unable to give informed consent because of his/her youth, or because of temporary or permanent mental or physical incapacity, including but not limited to being under the influence of alcohol or drugs.

A number of acts fall into the category of sexual violence, including rape, sexual assault, sexual battery, and sexual coercion. Sexual contact can include, but is not limited to: unwelcomed sexual behavior, including kissing, intentional touching of another person's intimate body parts or the clothing covering those intimate areas, and unwelcomed penetration. Sexual penetration includes sexually intended intrusion, however, slight, into any opening of a person's body, by parts of another person's body, or any other object.

III. Assurance Against Retaliation

It is unlawful and against University policy to retaliate against or punish any individual for his or her undertaking the legal activity of making a good faith report of sexual harassment/violence, or participating in an investigation of such a complaint. Retaliation includes any action by an individual or group that would discourage a reasonable person or persons from engaging in such protected activity. Examples of retaliation include, but are not limited to adverse employment or educational actions such as suspension, termination, removal from class, as well as coercion and intimidation. Retaliation in violation of the law is against University policy and should be reported as soon as possible to the appropriate campus official and/or Title IX Coordinator. Violation of this policy will result in disciplinary action. The SVPAA or VPHS, as the Deputy Coordinators, are authorized to take all

necessary steps to ensure that individuals acting in good faith are not subject to retaliation. This policy, however, shall not be used to bring frivolous or malicious complaints against students, faculty, employees, or visitors. If the University determines a complaint of sexual harassment/violence has been made in bad faith, disciplinary action, up to and including termination/expulsion, may be taken against the person bringing the complaint.

IV. Confidentiality Provisions

To the extent permitted by law and the enforcement of this policy, the University will endeavor to protect the privacy of all individuals involved and to ensure that the complainant and the accused are treated fairly. Information about individual complaints and their disposition is considered confidential and will be shared only as determined in the University's discretion, to be appropriate. However, confidentiality can be observed only to the extent that it does not interfere with the University's ability to investigate the allegations or to take corrective action, or comply with federal, state or local laws. Consequently, the University cannot ensure confidentiality but will evaluate any request for confidentiality in the context of its responsibility to provide a safe and nondiscriminatory environment for all members of the USA community.

V. Academic Freedom, the First Amendment and Sexual Harassment

In cases of alleged sexual harassment, the protections of the First Amendment must be considered if issues of speech or artistic expression are involved. Free speech rights apply in the classroom and in all other educational programs and activities of public institutions, and First Amendment rights apply to the speech of students and teachers. Speech or conduct of a sexual or hostile nature which occurs in the context of educational instruction may exceed the protections of academic freedom and constitute prohibited sexual harassment if it meets the definition of sexual harassment as noted above and (1) is reasonably regarded as non-professorial speech (i.e. advances a personal interest of the faculty member as opposed to furthering the learning process or legitimate objective of the course), or (2) lacks accepted pedagogical purpose or is not germane to the academic subject matter.

VI. Sexual Harassment and Sexual Violence Complaint Reporting

A. Persons Covered by Policy

All faculty members of the University are required to act in accordance with this policy. For the purposes of this policy, "faculty" shall include all full- or part-time University personnel, including adjunct or clinical faculty, who teach or carry out research, including graduate teaching assistants and research assistants and administrators with faculty status. Graduate teaching assistants and research assistants are considered both faculty and students for the purposes of this sexual harassment policy. Graduate teaching assistants and

research assistants may file a complaint as a student or have a complaint filed against them as faculty pursuant to this policy.

B. Compliance Officers

Designated Compliance Officers (CO's) for faculty are the SVPAA and VPHS, or their designee(s). The CO's are responsible for administering these guidelines and procedures in their respective academic divisions. They also serve as Deputy Coordinators the Title IX sexual harassment or sexual violence complaints.

C. Who May File a Complaint

Any person, or someone on his or her behalf, who believes he or she has been subjected to sexual harassment and/or sexual violence by a member of the faculty of the University may file a complaint pursuant to this policy. The person filing the complaint is denominated as the complainant for the purposes of this policy.

Although this policy applies to situations in which a faculty member is being accused of sexual harassment and/or sexual violence, faculty members are protected as well from such conduct by students, University employees, and non-employee third parties such as patients, vendors, contractors, etc., with whom the University is doing business.

Complaints of a faculty member against a student may be filed with the Dean of Students. Complaints of faculty member against non-faculty personnel or non-employee third persons may be filed with the Office of Human Resources.

D. Initiation of a Complaint Against a Faculty Member

A complaint accusing a faculty member of sexual harassment and/or sexual violence, as defined in these guidelines, is initiated by submitting a written, signed statement to the office of the SVPAA or the VPHS, as appropriate.

If the designated CO is the alleged harasser or the complainant feels uncomfortable talking to that person, the complainant may file his/her complaint with the CO for the other academic division. If, in this case, the complainant is a student, he/she may file complaints with the Dean of Students, and staff may file complaints with the Office of Human Resources. The complaints will then be transferred to the proper academic division.

E. Details to be Included in the Complaint.

The complaint must include:

1. The name of complainant,
2. The name of accused,

3. The details of the alleged sexual harassment and/or sexual violence,
4. The names of any persons believed by the complainant to have knowledge of the alleged conduct,
5. Any other information the complainant believes pertinent to the alleged sexual harassment and/or sexual violence, and
6. Whether the complainant seeks resolution of the complaint through the formal or informal processes described in this policy.

F. Standard of Proof Required

The complainant has the burden of providing evidence of the alleged sexual harassment and/or sexual violence, as well the burden of proving that it is more likely than not that the alleged sexual harassment and/or sexual violence occurred.

G. Failure to Report Complaint in Good Faith

It is a violation of University policy for any member of the campus community to make an intentionally false accusation of sexual harassment and/or sexual violence and such policy violation may result in disciplinary action, up to and including expulsion or termination.

VII. Investigation and Resolution of Sexual Harassment and Sexual Violence Complaints

A. Informal Resolution

1. General Information

Some sexual harassment complaints can be resolved through an informal process. However, in cases involving allegations of sexual assault, mediation/informal resolution is not appropriate even on a voluntary basis and will not be used to resolve such complaints. Where informal resolution may be appropriate, the purpose of the procedure is to provide assistance and guidance to both the complainant and the accused in the functioning of the University's sexual harassment procedures. An informal resolution process does not involve the appointment of an investigator and the Sexual Harassment and Sexual Violence Resolution Committee, except as discussed below, nor does it provide for any rights of appeal. Any resolution reached through the informal process must be acceptable to both parties and to the University as satisfying its responsibility to ensure that the prompt remedial action is taken.

2. Initial Meeting with Faculty Compliance Officer

Generally, within fifteen (15) calendar days after receiving a complaint, the CO or his/her designee, as well as any investigator chosen by the CO or designee, will meet with the complainant and the accused separately to discuss the complaint and clarify the University's policy and internal complaint resolution procedures. While complainant and accused may consult with legal counsel as they desire outside of the meetings and proceedings discussed herein, neither the complainant nor the accused may have counsel, legal or otherwise, present during any meetings/proceedings which are part of the investigation and resolution of sexual harassment/sexual violence complaints.

The meeting with the accused will generally occur within five (5) calendar days after meeting with the complainant. The accused will have the opportunity to review the complainant's written statement before responding to the charges contained therein. The accused has the right to respond via a formal statement to the investigator within ten (10) calendar days of his/her meeting with the investigator. If the accused does not provide a written response, his/her failure to do so will be considered an admission of the complainant's allegations, and the complaint will be forwarded immediately to the Sexual Harassment and Sexual Violence Resolution Committee for a recommendation regarding sanctions.

During the meetings between the CO and the parties, the parties elect the style of resolution – formal or informal – by so indicating in writing. The informal process requires the consent of both the complainant and the accused. If the complainant elects to change the resolution style from formal to informal and the accused agrees, resolution will be sought through the informal process outlined in this policy

3. Informal Resolution Process

If the informal resolution is elected by the parties, the complainant may choose to proceed through either direct contact with the accused or with the assistance of a facilitator. At any time during an informal resolution process, either party may change his/her request for disposition of the complaint from informal to formal process. In that event, the requesting party must so notify the CO of his/her designee in writing.

A complaint is deemed resolved through the informal process when the complainant indicates to the CO that he/she believes the matter has been resolved and the CO determines, on behalf of the institution and in consultation with appropriate administrators as necessary, that the proposed resolution constitutes appropriate remedial action.. If the

complainant does not advise the CO of the resolution within thirty (30) calendar days after the initial meeting between the complainant and the CO, the University will presume the complainant has elected to dismiss the complaint. Any informal resolution reached by the parties must be in writing, signed by the parties, and approved by the CO. The statement of resolution will be retained in the office of the CO. The SVPAA or the VPHS (if those individuals are not the CO for the subject complaint), as well as the Dean of the appropriate College/School will be notified of the resolution by the CO.

B. Formal Resolution

1. Investigation of Sexual Harassment and Sexual Violence Complaints

a. General Information

All written complaints reported to the CO shall be resolved through the formal process unless both parties expressly elect to pursue resolution of the allegations in an informal resolution process. The CO will be responsible for conducting an investigation of all complaints and may designate other individuals to assist in that process.

b. Initial Meeting with Compliance Officer

The initial meetings with the parties are as described above in paragraph VII.A.2. During those meetings, if the informal process is not agreed to by both parties or if the matter involves sexual assault, the formal resolution process as described herein ensues.

c. Identification of Relevant Witness and/or Information

Both the complainant and the accused have the right to provide any information and/or identify any persons who may have information relevant to the complaint. The investigator will interview witnesses and/or collect written statements from all witnesses deemed relevant by the CO and/or the designated investigator.

d. Scope of Investigation

The scope of the investigation shall be within the discretion of the investigator. An investigation report shall be completed within thirty (30) calendar days of the complainant's initial meeting with the investigator (or as of the date the complaint resolution process was amended by either party from informal to formal) unless extraordinary or extenuating circumstances exist as determined by the Compliance Officer.

e. Additional Information

Upon completion of the investigation, the information gathered will be forwarded to the Sexual Harassment and Sexual Violence

Resolution Committee unless both parties agree to convert from the formal to the informal process for resolution.

Persons who (1) have filed a complaint of sexual harassment and/or sexual violence; (2) are accused of sexual harassment and/or sexual violence; or (3) are identified by any party, including the University, as possible witnesses to sexual harassment and/or sexual violence do not have the right to have an attorney present during any step or phase of the proceedings, including, but not limited to, any meetings and/or interviews.

2. Sexual Harassment and Sexual Violence Resolution Committee

a. Composition of Committee

The Sexual Harassment and Sexual Violence Resolution Committee will be appointed by the President of the University and will be composed of three (3) members: (1) a department chair; (2) a tenured member of the faculty; and (3) the Vice President for Student Affairs or Dean of Students, if the complainant is a student; if the complainant is not a student, another tenured faculty member will be appointed to the Committee. A chair will be selected by the Committee. All members of the Committee will receive training in the processing of sexual harassment complaints.

b. Review of Complaints by Sexual Harassment and Sexual Violence Resolution Committee

The Sexual Harassment and Sexual Violence Resolution Committee will meet to review complaints of sexual harassment within fifteen (15) calendar days of receipt of the investigator's report. The Committee is responsible for determining whether or not, based upon the evidence presented, a preponderance of evidence suggests that more likely than not a violation of this policy or any other University policy occurred, and, if so, what the recommended sanction will be.

The Committee will review the entire investigation of the case, as reported by the investigator, prior to making its decision. Furthermore, the Committee has the right to call the parties, any witnesses or the investigator before a Committee meeting at any time during its evaluative process. No party to the case or any witness has a right to attend a Committee meeting. No person called before a Committee meeting may attend with counsel, legal or otherwise.

c. Time Frame for Committee Review

The Sexual Harassment and Sexual Violence Resolution Committee must complete its review of the complaint and determine any recommended sanctions within thirty (30) calendar days of the Committee's receipt of the completed investigation report, unless the CO determines, in his/her sole discretion and upon a request from the chair of the Committee, that additional time is needed by the Committee to fully perform this function.

d. Possible findings by Sexual Harassment and Sexual Violence Resolution Committee

The Committee may determine:

1. That the alleged conduct did not occur or does not constitute a violation. If so, the chair will notify, in writing, the CO of the Committee's determination within three (3) calendar days of that decision; or
2. That the alleged conduct constituted sexual harassment and/or sexual violence. If so, the chair will notify, in writing, the CO and the appropriate Vice President (if other than the CO) of the Committee's determination, including its recommended sanctions, within three (3) calendar days of that decision; or
3. That no violation of the policy occurred, but the Committee found the behavior complained of unacceptable in the employment context and should be subject to correction either through remediation or disciplinary action, up to and including termination of employment, and will so notify, in writing, the CO of this finding, including its recommended sanctions, within three (3) calendar days of that decision..

e. Review by SVPAA and VPHS

The SVPAA or the VPHS will review the Committee's determination and make a decision regarding sanctions, if any, within five (5) calendar days of receiving the Committee's recommendation. The parties will be notified of the outcome by the SVPAA or VPHS within three (3) calendar days of that decision.

f. Complainant's and Accused's Notification Rights

The complainant and accused are entitled to notification that the complaint is being investigated and to notification by the CO when the investigation has been completed. Both the complainant and the accused will be notified in writing about the outcome of the complaint, i.e., whether or not a violation of the policy was found to have occurred. The University will disclose to the harassed person/complainant information about the sanction(s) imposed upon the person found to have engaged in

sexual harassment to the extent the sanction relates directly to the harassed person.

When the conduct involves a crime of violence or a non-forcible sex offense (incapable of giving consent), the University will disclose to the alleged victim the final results of the proceeding against the alleged perpetrator. In the event a violation was found, the disclosure will include the sanction(s) imposed.

g. Review of Findings, Investigation, Determinations and/or Sanctions

No party to the investigation, including any witness to the alleged sexual harassment and/or violence, is entitled to review the Committee's findings, a summary of the findings and/or any determination reached pursuant to the investigation and/or findings, except that the complainant and accused are entitled to review each other's written statements, and those of witnesses, as well as any written responses generated during the investigation. The CO may elect to redact the names of any witnesses prior to review of the witness's statement.

3. Appeals of Sexual Harassment and Sexual Violence Resolution Committee Decisions

Where there is a finding that the accused faculty member has violated this policy or that the behavior is unacceptable (V11.B.3.d.), and a sanction has been imposed, appeal rights are available to both the accused and the accuser to the extent of any sanction that directly relates to the appealing party. In the case of sexual violence or non-forcible sex offense, either party may appeal any sanction imposed. That appeal is directed to the SVPAA or to the VPHS, as applicable, and must be filed within five (5) calendar days of notification of the sanction. There is no right to appeal the substantive finding of a violation of the policy, i.e. whether or not a violation is determined to have occurred.

Within ten (10) calendar days of receiving an appeal, the SVPAA or the VPHS, as applicable, will issue a final decision regarding the disposition of the appeal. However the SVPAA or the VPHS shall have the right to extend the ten (10) calendar days if he/she deems such an extension necessary. The faculty member will be notified of any such extension.

4. Sanctions Permissible Pursuant to this Policy

The sanctions imposed will depend on all the facts and circumstances discovered during the investigation and/or informal resolution process.

Disciplinary action pursuant to University procedures may include, but is not limited to:

- A requirement not to repeat or continue the harassing conduct,
- certification of completion of a sexual harassment education program,
- A reprimand,
- Reassignment of duties,
- Denial of pay increase,
- Suspension with or without pay or
- Termination of employment.

C. Obligation to Participate in Investigations

All University students, faculty, personnel and others involved in a sexual harassment and/or sexual violence complaint and investigation, whether as parties or witnesses, have an obligation to participate in the investigation and process of resolution to the fullest extent requested by the University. Failure to participate shall be grounds for disciplinary action up to and including termination or expulsion.

VIII. Sexual Harassment and Sexual Violence Complaints within Official Records

All records pertaining to sexual harassment and sexual violence complaints, appeals and decisions regarding appeals will be maintained in the Office of the SVPAA or VPHS, as applicable. The SVPAA/VPHS will notify the appropriate supervisor of the findings and sanctions. In all cases where a faculty member is determined to have engaged in sexual harassment and/or sexual violence or other inappropriate behavior, or where, in the discretion of the SVPAA or VPHS, an informal resolution regarding a sexual harassment complaint needs to be noted, a letter will be placed in the faculty member's personnel file indicating that the appropriate vice president's office maintains records of complaints against the faculty member.

IX. Consensual Relationships

The appearance of a compromising conflict of interest or of coercion, favoritism, or bias in educational or academic evaluation is prejudicial to the interests of the University of South Alabama. Amorous relationships between faculty members and students with whom they also have an academic evaluative role create such an appearance, even where the relationship is genuinely consensual. Such relationships are particularly susceptible to exploitation. The respect and trust accorded a professor by a student, as well as the power exercised by the professor in an academic or evaluative role, make voluntary consent by the student suspect. In light of the significant power differential that exists, or is believed to exist, between faculty and students, even when both parties initially have consented, the development of such a relationship renders both the faculty member and institution vulnerable to possible later allegations of sexual harassment and/or sexual violence.

Therefore, faculty members are prohibited from participating in amorous relationships with students enrolled in their classes or with students whom they otherwise evaluate, grade or supervise. Similarly, faculty members have an obligation to avoid situations which may require them to evaluate, grade or supervise students with whom they have or have had amorous relationships. If such a situation arises, a faculty member must report the situation immediately to his/her immediate supervisor for advice and counsel and must abstain from any evaluation, grading or supervision of students with whom he/she has or has had an amorous relationship.

Conducting amorous relationships in violation of this policy may lead to a presumption of sexual harassment and/or sexual violence and can lead to sanctions including termination.

For the purpose of this policy, evaluative situations may include, but are not limited to, supervising instruction; evaluating academic performance; or serving on committees for awards, prizes or thesis supervision.

1.5.5 Drug-Free Workplace Act - Substance Abuse Policy

The University of South Alabama recognizes that substance abuse is a major issue affecting all aspects of society. The University views the abuse of alcohol and other drugs as potentially harmful to life, safety, and the orderly progress of the academic community. Responsible conduct and accountability is expected from each individual on campus. The University will express its ongoing concern through an institution-wide commitment to appropriate education, training and counseling services. The University recognizes, through this policy and through programs developed pursuant to this policy to prevent illicit use of drugs and abuse of alcohol, its goals and commitments to a drug-free academic environment, in accordance with the Drug-Free Schools and Communities Act Amendment of 1989 and the Drug-Free Workplace Act of 1988. As a part of the University's institution-wide substance abuse education/prevention program, and also in accordance with the Drug-Free Workplace Act of 1988, the following are prohibited:

1. Use, possession, manufacture, distribution, dispensation or sale of illegal drugs or drug paraphernalia on University premises or while on University business, in University vehicles either during or after working hours;
2. Unauthorized use or possession or any manufacture, distribution, dispensation or sale of a controlled substance, as defined by State law, on University premises, or while engaged in University business, in University vehicles, either during or after working hours;
3. Unauthorized use, manufacture, distribution, dispensation, or possession or sale of alcohol on University premises or while on University business as set forth in the policy, in University vehicles either during or after working hours;

4. Storing on University premises any illegal drug, drug paraphernalia, any controlled substances, of which use is unauthorized, or any alcohol on University premises unless specifically authorized in accordance with this policy;
5. Use of alcohol off University premises that adversely affects the employee's work performance, their own or others' safety;
6. Possession, use, manufacture, distribution, dispensation, or sale of illegal drugs off University premises that adversely affects the employee's work performance, their own or others' safety;
7. Any act leading to conviction under any criminal drug statute;
8. Failure to notify the University of any arrest or conviction under any criminal drug statute within five days of the arrest or conviction, in accordance with the Drug-Free Workplace Act. The University pledges to support and enforce all Federal, State and City laws and ordinances pertaining to the use, possession, sale, and distribution of alcohol and other drugs.

The University of South Alabama institution-wide substance abuse education/ prevention program includes:

1. Substance Abuse Counseling - The University has established a Center for Substance Abuse Education and Prevention. This office provides assessment, counseling, intervention, and referral services for USA students and employees. There is no charge for information or on-campus counseling services. For more information call 460-7980.
2. Twelve Step Group - Support groups for recovering persons have been established on the USA campus. These member-led organizations provide information and hope for anyone with substance abuse concerns. Contact the Substance Abuse Counseling Office (460-7980) for meeting dates and times.
3. Alcohol/Drug Surveys - The Center conducts periodic surveys of campus attitudes and practices regarding the use of alcohol and other drugs. The surveys do not require disclosure of names and are not mandatory.
4. Peer Helpers - Volunteers receive ongoing training which enable them to assist their peers who may be at risk for substance abuse (or related) problems.
5. Intervention Teams - Students and staff from University Housing are trained to confront troubled persons in a caring manner, and to assist those persons in getting the help they need.
6. DUI/Prevention Program - Many persons will be able to be helped through this on-campus, six-week series of instruction, counseling, and group discussion.

7. *Media Center* - Books, pamphlets, videos, and other materials are available to the University community on loan at no charge.
8. *Training* - All University employees and student organizations can receive information about alcoholism and addiction, signs and symptoms, and resources for assistance with substance abuse concerns.

1.5.6 Possession of Firearms in University Building and on University Property

The possession of firearms by all employees including faculty within University buildings is prohibited except for University Police Officers.

An employee of the University meeting all other requirements under applicable Alabama law may transport or store a firearm in his/her lawful possession within his/her privately owned motor vehicle under the following circumstances: the firearm is kept from ordinary observation; and, if the vehicle is unattended by the employee, the firearm is kept locked within a compartment, container, or in the interior of the vehicle, or in a compartment or container securely affixed to the motor vehicle. Further, the employee must:

- Have a valid concealed weapon permit; or
- Satisfy the following conditions, if the weapon is any firearm legal for use for hunting in Alabama, other than a pistol:
 - ✓ The employee possesses a valid Alabama hunting license;
 - ✓ The weapon is unloaded at all times while on the property; and
 - ✓ Is the season in which hunting is permitted by the above-referenced license.

Employees who fail to adhere to this policy are subject to disciplinary action, up to and including termination.

1.5.7 Employment Eligibility Verification

The U.S. Department of Justice Immigration and Naturalization Service requires that all employers have an Employment Eligibility Verification Form (I-9 Form) on file for all employees within three days of employment.

1.5.8 Clery Act Statement (Campus Security Act)

The University of South Alabama's annual security report includes statistics for the previous three years concerning reported crimes that occurred on campus; in certain off-campus buildings owned or controlled by the University; and on public property within, or immediately adjacent to and accessible from the campus. The report also includes institutional policies concerning campus security, such as policies concerning alcohol and drug use, crime prevention, the reporting of crimes, sexual assault and other matters. A copy of this report can be obtained by contacting the University Police Department or by accessing the following web site:

<http://www.southalabama.edu/police/clery.html>.

1.5.9 Whistleblower and Non-Retaliation Policy

PURPOSE

The Whistleblower and Non-Retaliation Policy is designed to provide a mechanism for individuals doing work for or on behalf of the University of South Alabama to raise good faith concerns, including but not limited to, observed or suspected violations of law, policies or procedures, including but not limited to harassment, discrimination, research misconduct, mishandling of funds and other illegal activities; to facilitate cooperation in any inquiry or investigation by any court, agency, law enforcement, or other governmental body; and to protect individuals who take or participate in such action from retaliation or any threat of retaliation by any other individual doing work for or on behalf of the University.

SCOPE

This policy applies to all individuals doing work for or on behalf of the University, including directors, officers, and other organization volunteers.

POLICY

The University of South Alabama is committed to maintaining a workplace where individuals doing work on behalf of the University are free to raise good faith concerns about alleged improper or wrongful activity or University-related misconduct. Individuals are encouraged to report suspected violations of the law; to identify potential violations of policies or procedures of the University, and to provide truthful information in connection with any official inquiry or investigation.

The University expressly prohibits any form of retaliation, including harassment, intimidation, adverse employment action, or any other form of retaliation against individuals who in good faith raise suspected violations of law, cooperate in inquiries or investigations, or identify potential violations of policies of the University. Any individual who engages in retaliation will be subject to disciplinary action up to and including termination of employment.

1.5.8.1 Definitions

“Good Faith” means a sincere and honest belief in the truth of the concern raised that a reasonable person in the whistleblower’s situation could have believed based upon the facts. A disclosure or concern raised is not in good faith if made with reckless disregard, or willful ignorance of facts that would disprove the disclosure. A report does not have to be proven true to be made in good faith.

“Retaliation” means any adverse action or creditable threat of an adverse action taken by the University, or any individual doing work for or on behalf thereof, in response to a whistleblower’s good faith disclosure of University-related misconduct.

“University-related misconduct” includes any activity by an individual doing work for or on behalf of the University that is undertaken in the performance of the individual’s work-related duties, whether or not such action is taken within the scope of the individual’s employment, that is a violation of any state or federal law or regulation or the University’s regulation of policy, including academic or research misconduct, corruption, bribery, theft of property of the University, fraudulent claims, fraud, misappropriation of University or other agency funds, coercion, conversion of assets of the University, discrimination, sexual harassment, violations of civil rights and other illegal or improper practices.

“Whistleblowing” means good faith reporting of real or reasonably perceived University-related misconduct.

“Whistleblower” means any individual doing work for or on behalf of the University who, in good faith, reports real or perceived University-related misconduct.

Whistleblowers do not include complainants who raise issues or concerns through the normal course and scope of the individual’s business-related duties.

1.5.8.2 Procedure

Reports of suspected violations of law or policy and reports of retaliation will be investigated promptly and in a manner intended to protect confidentiality as circumstances allow. The whistleblower should make a report of University-related misconduct or retaliation to his/her immediate supervisor or to other individuals or through other mechanisms, including by voicemail, e-mail, mail or fax, provided for in the applicable University policy. Whistleblower Hotline information is available at the following URL address: www.usouthal.edu/whistleblower. Reports of retaliation under this policy must be made in writing to include sufficient detail of the facts and circumstances, including dates/names of relevant persons and the alleged retaliatory acts. Supervisors or other individuals receiving reports under this policy must forward the report to Human Resources or Internal Audit.

An investigation into reports of misconduct will be conducted by the individual designated in the applicable University policy. Findings of University-related misconduct will be dealt with pursuant to the University’s policies and procedures.

The University will use its best efforts to protect whistleblowers against any form of retaliation. It cannot guarantee confidentiality, however, and there is no such thing as “unofficial” or “off the record” reporting. The University will keep the whistleblower’s identity confidential, unless: the whistleblower agrees to be identified; identification is necessary to allow the University or law enforcement officials to investigate or respond effectively to the report; identification is required by law; or the person accused of improper activities is entitled to the information as a matter of procedural right in disciplinary proceedings.

Anonymous reports may be made. However, because a thorough investigation often depends upon an ability to gather additional information, the University encourages

complainants to identify themselves. The University will explore anonymous allegations to the extent possible, but will weigh the prudence of continuing such investigations against the likelihood of confirming the alleged facts or circumstances from attributable sources.

Individuals bringing forth allegations which are not made in good faith may be subject to disciplinary action independent of this policy.

Any questions regarding this University Whistleblower and Non-Retaliation Policy should be directed to Internal Audit or Human Resources.

2.0 ADMINISTRATIVE ORGANIZATION

2.1 Organizational Structure

The organizational structure of the University may be viewed at <http://www.southalabama.edu/irpa/orgcharts.html>

2.2 Board of Trustees

Authority for governance, organization, and operation of the University is vested in the Board of Trustees. The Board is composed of seventeen members: twelve members appointed from south Alabama; three members appointed from the State-at-large; the Governor of the State of Alabama as President, ex-officio, of the Board; and, the State Superintendent of Education as an ex-officio member. Of the twelve members appointed from the southern region of the State, three members are appointed from Mobile, County, and one member is appointed from each of the nine southern senatorial districts, as those districts were designated at the time the University was organized. All members, except ex-officio members, are appointed by the Governor with the advice and consent of the State.

The Board may prescribe courses of instruction, rates of tuition and fees, and confer appropriate degrees. The Legislature specifically has given the Board the right to act in the best interest of the institution. The Board of Trustees has created an Executive Committee and delegated to this committee certain authority. The Board has delegated to the President of the University the authority necessary for the operation of the institution. All authority vested in administrative officers, administration, faculty, student committees, and internal political bodies comes directly from the Board of Trustees to the Executive Committee and the President and through the President to the respective individual or entity.

2.3 Office of the President

The President of the University is appointed by the Board of Trustees and presides over the University. As the Chief Executive Officer, the President's responsibilities include organizing, advancing, operating, and preserving the University. The President is assisted by the Special Assistant to the President, academic and non-academic vice presidents, academic deans, directors, and other administrative staff members.

2.3.1 Special Assistant to the President

The Special Assistant to the President advises and supports the President in carrying out the duties and functions of the Office of the President.

2.3.2 Senior University Attorney

The Office of the University Attorney provides legal advice to the Board of Trustees, the President, and other University officials and oversees all legal matters affecting the University.

2.3.3 Executive Director of Governmental Relations

The Office of Governmental Relations is responsible for monitoring and reporting federal, state, and local legislative and regulatory matters related to the University. The Executive Director advocates the interests of the University in the Alabama Legislature and with other governmental bodies.

2.3.4 Director of Athletics

The Director of Athletics is responsible for overall administration of the University's Division I intercollegiate athletic program.

2.3.5 Director of Public Relations

The Office of Public Relations is responsible for all press/news releases from the University, and is the University liaison with all media. The Office of Publication Services, which is responsible for the operation of all University publications services, reports to the Director of Public Relations.

2.4 Councils of the President

2.4.1 President's Council

The President's Council meets regularly with and serves as an advisory group to the President. The Council includes: the President, the Senior Vice President for Academic Affairs, the Vice President for Health Sciences, the Vice President for Financial Affairs, the Vice President for Student Affairs, the Vice President for Research, the Vice President for Development and Alumni Affairs, the Vice President for Health Systems, the Senior University Attorney, the Special Assistant to the President, the Director of Athletics, the Director of the Mitchell Cancer Institute, and the Director of Public Relations.

2.4.2 Budget Council

The Budget Council, which is chaired by the President, prepares the University budget and serves as an advisory group appointed by the President to review budget proposals. The Budget Council is composed of the following members: the University President, the Senior Vice President for Academic Affairs, the Vice President for Health Sciences, The Vice President for Financial Affairs, the Vice President for Student Affairs, Vice President for Health Systems, the Special Assistant to the President, the Associate Vice President for Medical Financial Affairs, the Associate Vice President for Hospital Financial Affairs, the Associate Vice President for Enrollment Services, the Associate Vice President for Institutional Research, Planning and Assessment, the Director of Budget, and the Chair and immediate Past President of the Faculty Senate.

2.4.3 Long-Range Planning Committee

The University Long-Range Planning Committee proposes strategic goals and objectives and reviews assumptions about external factors affecting the University. The committee includes faculty, administrative and student representation.

2.4.4 Advisory Committee on Diversity

The mission of the Advisory Committee on Diversity is to identify and to develop creative strategies and initiatives for enhancing diversity programs at the University. The committee is appointed by and reports to the President. At least fifty percent of the committee is African-American derived from a slate of nominations presented to the President by African-American faculty and administrators. The remaining members are selected from among other University faculty and administrators. The Senior Vice President for Academic Affairs serves as chair of the committee.

2.5 Division of Academic Affairs

The Division of Academic Affairs includes the Colleges of Arts and Sciences, Mitchell College of Business, College of Education, College of Engineering, the Graduate School, School of Computing, School of Continuing Education and Special Programs, University Libraries, Institutional Research, Planning, Assessment and Regional Campuses, Enrollment Services, and Registrar. Academic Programs in the College of Medicine, the Pat Capps Covey College of Allied Health Professions, and the College of Nursing are under the Division of Health Sciences (see Section 2.6).

2.5.1 Senior Vice President for Academic Affairs

The **Senior Vice President for Academic Affairs** is the Chief Academic Officer of the University and has administrative responsibility for the academic and support programs and the faculty and staff serving the various academic units, colleges, schools, divisions, and departments. The divisions within Academic Affairs include: the Colleges of Arts and Sciences, Business, Education, Engineering, The Graduate School and Office of Research, the School of Continuing Education and Special Programs, the School of Computing, and the University Libraries. The Senior Vice President has a major role in developing academic rules and regulations, planning and developing curriculum, and planning for and participating in faculty recruiting and appointments. The Senior Vice President also acts as Diversity Officer for Faculty and Administration.

2.5.2 Associate Vice Presidents for Academic Affairs

2.5.2.1 Associate Vice President for Academic Affairs and Dean of Graduate Studies

The Associate Vice President for Academic Affairs and Dean of Graduate Studies reports to the Senior Vice President and is responsible for:

- Authorizations for out of state education;

- Office of Postdoctoral Education;
- Considering and administering student appeals of academic policy decisions related to retroactive withdrawals, reinstatements, tuition refunds, and similar matters; approval and processing of new course approvals and course modifications;
- Duties relevant to Graduate Dean;
- Other duties as assigned by the Senior Vice President for Academic Affairs.

2.5.2.2 Associate Vice President for Academic Affairs

The Associate Vice President for Academic Affairs reports to the Senior Vice President for Academic Affairs and is responsible for:

- Leadership and management for specific set of offices including but not limited to Office of Institutional Research and USA Baldwin County;
- Liaison to the Alabama Commission on Higher Education;
- Collecting, reporting, analyzing, and interpreting information and statistical data for internal purposes;
- Preparing and reporting information to various federal, state, accreditation and other agencies;
- University liaison with the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC);
- Other duties as assigned by the Senior Vice President for Academic Affairs.

2.5.2.3 Associate Vice President for Institutional Effectiveness

The Associate Vice President for Institutional Effectiveness reports to the Senior Vice President for Academic Affairs and is responsible for:

- Leadership and management for a specific set of offices including but not limited to Office of Institutional Effectiveness and the Center for Academic Service-Learning and Civic Engagement;
- Developing and sustaining a comprehensive program of institutional effectiveness to include assessment and continuous improvement of all the academic and administrative units of the university;
- Establishing and implementing short- and long-term institutional effectiveness goals, policies, and operating procedures;
- Coordinating the program evaluation process reviews of academic programs;
- Assessment education of administrators, faculty and staff;
- Other duties as assigned by the Senior Vice President for Academic Affairs.

2.5.3 College of Arts and Sciences

The College of Arts and Sciences consists of the Departments of Air Force Studies; Biology; Chemistry; Communication; Dramatic Arts; Earth Sciences; English; Foreign Languages and Literatures; History; Marine Sciences; Mathematics and Statistics; Military Science; Music;

Philosophy; Physics; Political Science and Criminal Justice; Psychology; Sociology, Anthropology and Social Work; and Visual Arts.

2.5.3.1 Dean

The Dean is the executive officer of the college and reports to the Senior Vice President for Academic Affairs. Responsibilities of the Dean are described in section **2.7**.

2.5.3.2 Associate Dean, Advising and Undergraduate Instruction

The Associate Dean of Advising and Undergraduate Instruction reports to the Dean and has the following responsibilities:

- Coordination of undergraduate studies for the College
- Responsible for registration and orientation activities
- Coordination of student advising and student records
- Coordination of university Bulletin revisions
- Other duties as assigned by the Dean

2.5.3.3 Associate Dean, Research

The Associate Dean for Research reports to the Dean and has the following responsibilities:

- Coordination of faculty research and development
- Coordination of graduate studies for the college
- Grant budget review and development
- Other duties as assigned by the Dean

2.5.3.4 Assistant Dean

The Assistant Dean reports to the Dean and has the following responsibilities:

- Oversight of class schedules
- Coordination of annual assessments
- Coordination of development and public relations
- Review, evaluation, and processing of undergraduate student issues
- Oversight of the College Scholarship Committee

2.5.3.5 Department Chairs

The department chairs report to the Dean and serve as senior administrative and academic officers for their departments. Departmental chair functions are described in section **2.8**.

2.5.3.5 Standing Committees

- Academic Programs and Planning Committee (APPC)

- African-American Studies Committee
- College Graduate Curriculum Committee
- Faculty Awards Committee
- Gender Studies Committee
- Graduate Academic Standards Committee (GASC)
- International Education Committee
- Promotion Committee
- Sabbatical Committee
- Summer Professional Development Awards Committee
- Support and Development Awards Committee
- Technology Committee
- Tenure Committee
- Undergraduate Academic Standards Committee (UASC)
- Undergraduate Final Course Grade Grievance Committee
- Undergraduate Scholarship Committee

2.5.4 Mitchell College of Business

The Mitchell College of Business consists of the departments of Accounting, Economics and Finance, Management, and Marketing.

2.5.4.1 Dean

The Dean is the executive officer of the college and reports to the Senior Vice President for Academic Affairs. Responsibilities of the Dean are described in section **2.7**.

2.5.4.2 Associate Dean

The Associate Dean reports to the Dean and is responsible for:

- Assisting in the general planning and operation of the college;
- Developing academic programs in the college with the Dean, departmental chairs, and faculty;
- Assisting the Dean and chairs in recruitment of new faculty;
- Coordinating and supervising the graduate programs of the college;
- Coordinating and editing materials for the University Bulletin;
- Coordinating and supervising orientation, advising, and registration activities;
- Coordinating and supervising scheduling of academic classes;
- Assigning classroom space;
- Approving substitutions, fee waivers, late course drop/adds;
- Maintain liaison with faculty in academic matters requiring policy determinations and making appropriate recommendations to the Dean;
- Coordinating the assessment activities of the college;
- Assisting the Dean in preparing accreditation reports;
- Assisting the Dean in updating the college Policies and Procedures Manual, as needed;

- Coordinating and editing materials for the college website, brochures, and other promotional materials;
- Other duties as assigned by the Dean.

2.5.4.3 Department Chairs

The department chairs report to the Dean and serve as senior administrative and academic officers for their departments. Departmental chair functions are described in section **2.8**.

2.5.4.4 Director, Graduate Studies

The Director of Graduate Studies reports to the Dean and is responsible for:

- Coordinating and supervising the graduate programs of the college;
- Acting as liaison with graduate program directors in other colleges;
- Other duties as assigned by the Dean.

2.5.4.5 Director, Center for Business and Economic Research

The Director of the Center for Business and Economic Research reports to the Dean and supports faculty research activities relating to business and economic areas, including applied research, faculty publications, and community research activities by establishing bases and publishing applied research projects of interest.

2.5.4.6 Director, Small Business Development Center

The Director of the Small Business Development Center reports to the Dean. The Center offers business services to small business people in a six-county area of Southwest Alabama. The Center provides free one-on-one counseling, offers workshops that address the problems of the business community, and staff specialists in the areas of international trade and government procurement.

2.5.4.7 Director, Center for Real Estate Studies

The Center for Real Estate Studies provides quarterly and annual statistical reports on Mobile County and Baldwin County Commercial and residential activity. The Center conducts the annual Coastal Economic Outlook Conference and the Commercial Real Estate Summit.

2.5.4.8 Director, Melton Center for Entrepreneurship and Innovation

The Melton Center for Entrepreneurship and Innovation provides information through seminars, conferences, and research activities to support the creation and advancement of family owned businesses, small business firms, and business creation opportunities.

2.5.4.9 Standing Committees

- Curriculum Committee
- Distance Education Committee
- Executive Committee
- Faculty Development Committee
- Graduate Committee
- Outcomes Assessment Committee
- Promotion Committee
- Research/Library Committee
- Strategic Planning Committee
- Student Services Committee
- Technology Committee
- Tenure Committee

2.5.5 College of Education

The College of Education consists of the Departments of Leadership and Teacher Education, Health, Physical Education and Leisure Studies, and Professional Studies.

2.5.5.1 Dean

The Dean is the executive officer of the college and reports to the Senior Vice President for Academic Affairs. Responsibilities of the Dean are described in section **2.7**.

2.5.5.2 Associate Dean

The Associate Dean reports to the Dean and has the following responsibilities:

- Coordination and supervision of the Office of Student Personnel Services
- Coordination and supervision of the registration of students
- Coordination and editing of college materials for the University Bulletin
- Coordination of space utilization
- Coordination and supervision of computer labs
- Other administration and supervisory duties as assigned by the Dean

2.5.5.3 Associate Dean, Professional Development and External Affairs

The Associate Dean for Professional Development and External Affairs reports to the Dean and has the following responsibilities:

- Coordination and supervision of research and professional development activities
- Support of local school districts in the delivery of staff development for P-12 educators
- Support for college faculty in the development of proposals for externally funded research
- Supervision of the college Office of Grants and Contracts

- Supervision of the college Office of Field Services
- Maintenance of external relations with schools, school systems, and other partnership agencies
- Representation of the college on University committees and other functions related to research and grants development
- Assistance with the creation of development literature
- Other duties as assigned by the Dean.

2.5.5.4 Director, Field Services

The Director of Field Services reports to the Dean and is responsible for

- Coordinating all laboratory and field experiences within the college
- Conferring with the Dean, departmental chairs, and faculty concerning the establishment and/or modification of policies pertaining to laboratory experiences
- Serving as liaison between the college, schools, teachers, and other agencies for participation in various laboratory programs
- Conferring with concerned departmental chairs in the assignment of college faculty to supervise student teachers
- Planning an orientation session for student teachers each semester and making required information and forms available to college supervisors, cooperating teachers, and student teachers.

2.5.5.5 Department Chairs

The department chairs report to the Dean and serve as senior administrative and academic officers for their departments. Departmental chair functions are described in section **2.8**.

2.5.5.6 Standing Committees

- Academic Standards (Grade Grievance) Committee
- Curriculum Committee
- Graduate Programs Committee
- Honors and Awards Committee
- Promotion Committee
- Recruitment and Retention Committee
- Student Services Committee
- Tenure Committee

2.5.6 College of Engineering

The College of Engineering consists of the Departments of Chemical Engineering, Civil Engineering, Electrical and Computer Engineering, and Mechanical Engineering.

2.5.6.1 Dean

The Dean is the executive officer of the college and reports to the Senior Vice President for Academic Affairs. Responsibilities of the Dean are described in section **2.7**.

2.5.6.2 Associate Dean

The Associate Dean reports to the Dean and has the following responsibilities:

- Assist in the general planning and operation of the college;
- Coordinate and supervise schedule preparation for the college;
- Perform graduation audits on candidates for graduation;
- Assign classroom space;
- Participate in ad hoc committees;
- Approve student requests for substitutions, fee waivers, late course drop/adds, and other exceptional student requests;
- Serve as chair of the Curriculum Committee;
- Other duties as assigned by the Dean.

2.5.6.3 Department Chairs

The department chairs report to the Dean and serve as senior administrative and academic officers for their departments. Departmental chair functions are described in section **2.8**.

2.5.6.4 Standing Committees

- Academic Standards Committee
- Dean's Administrative Council
- Engineering Computing Committee
- Faculty Affairs Committees
- General Engineering Studies Committee
- Graduate Affairs Committee
- Personnel Action Committee for Tenure (PACT)
- Promotion, Evaluation and Review Committee (PERC)
- Undergraduate Affairs Committee

2.5.7 School of Computing

The School of Computing offers two areas of study. The first has specializations in computer science, information science, and information technology. The second, computer engineering, is jointly administered with the College of Engineering.

2.5.7.1 Dean

The Dean is the executive officer of the school and reports to the Senior Vice President for Academic Affairs. Responsibilities of the Dean are described in section **2.7**.

2.5.7.2 Coordinators

The Coordinators report directly to the associate Dean and indirectly to the Dean of the school. The coordinators act as facilitators and moderators for the respective program units. Each coordinator is responsible for performing tasks of developing goals and objectives, course scheduling, course assignments, textbook selection, defining resource needs, and overseeing the quality of the curricula of the respective program unit.

- **Coordinator, Computer Science**
Responsible for CIS and CSC undergraduate and graduate courses.
- **Coordinator, Information Systems**
ISC undergraduate and graduate courses.
- **Coordinator, Information Technology**
CIS service courses and ITE courses.

2.5.7.3 Director, Graduate Studies

The Director of Graduate Studies reports to the Dean and has the following responsibilities:

- leadership for graduate program planning;
- implementation of the policies of the graduate program of the University;
- liaison between the Dean of the Graduate School and the school;
- serve as needed on master theses committees.

2.5.7.4 Standing Committees

- Faculty Recruiting Committee
- Academic Standards Committee
- Promotion and Tenure Committee
- Faculty Development Committee

2.5.8 School of Continuing Education and Special Programs

The School of Continuing Education and Special Programs consists of the Departments of Interdisciplinary Studies, Conference Activities and Special Courses, and English as a Second Language. The school also includes the Developmental Studies Program, the Center for Emergency Response Training, Office of International Education, and the Cooperative Education Program.

2.5.8.1 Dean

The Dean is the executive officer of the School and reports to the Senior Vice President for Academic Affairs. Responsibilities of the Dean are described in section **2.7**.

2.5.8.2 Department Chairs

The Department Chair reports to the Dean and is responsible for the general direction and supervision of the department. The chair has the following responsibilities:

- Scheduling of classes;
- Maintenance of student counseling files;
- Coordinating and supervising orientation and advising;
- Approving requests for substitutions, fee waivers, late course drop/adds;
- Applications and evaluations for graduation where appropriate;
- Registration activities;
- Coordinating and editing of material for the Bulletins;
- Developing academic programs with the Dean, coordinators, and faculty;
- Assisting in the recruiting of new faculty;
- Membership on various standing and ad hoc committees;
- Other duties as assigned by the Dean.

Additional departmental chair functions are described in section **2.8**.

2.5.8.3 Standing Committees

- Academic Standards Committee
- Faculty Development Committee
- Faculty Recruiting Committee
- Promotion and Tenure Committee

2.587.4 Office of International Education

The Office of International Programs and Development is responsible for the coordination and oversight of University international activities, e.g., academic programs or projects that involve University faculty, staff, or students beyond the territorial limits of the United States. All existing or proposed international programs, travel, exchanges, contracts and grants are to be reviewed and registered with the Office of International Programs and Development. Each existing or proposed program will provide necessary information on personnel, fees, curriculum, budget, transient approval, credit transfer/equivalencies, itinerary, insurance, orientation, and liability.

2.5.9 The Graduate School

2.5.9.1 Dean

The Associate Vice President for Academic Affairs/Dean of the Graduate School is the executive officer of the Graduate School and reports to the Senior Vice President for Academic Affairs. The associate vice president has the following responsibilities:

- Provide leadership to support graduate students and faculty in the development of scholarly and creative activity. -;

- Chair of the Faculty Development Council;
- Work with the academic deans to improve the quality of graduate programs through program development, student recruitment, and enhancement of support for graduate fellowships, assistantships, and related opportunities;
- Provide leadership to the Graduate Council in the development, implementation, and evaluation of policies governing graduate programs;
- Administer graduate assistant program;
- Provide appropriate models for determining and evaluating quality of graduate programs;
- Represent the University in state, regional, and national organizations - graduate program administrators;
- Carry out other duties as assigned by the Senior Vice President for Academic Affairs.

2.5.9.2 Standing Committees

- Graduate Council
- Faculty Development Council

2.5.9.3 Graduate Faculty

The Graduate Faculty consists of those members of the faculty who have been designated by the President upon recommendation by the Graduate Dean, Senior Vice President for Academic Affairs, and Vice President for Health Sciences, acting upon appropriate nominations from the academic unit. Such designations provide for classification of Associate Members and Full Members of the Graduate Faculty.

Associate members of the Graduate Faculty must have

- An academic appointment at the rank of assistant professor or higher;
- Normally, the terminal degree appropriate to the field;
- Evidence of scholarly/professional activities;
- Demonstrated competence in teaching at the upper-division and/or graduate level;
- The recommendation of a majority of graduate faculty in the appropriate department;

Reviews and requests for reappointment are conducted at three year intervals. Associate members may teach graduate courses (500-level or higher), serve on graduate degree examination and thesis committees, and chair master's thesis committees.

Full Members of the Graduate Faculty must have:

- An academic appointment at the rank of assistant professor or higher;
- Normally, the terminal degree appropriate to the field;
- Demonstrated competence in teaching at the upper-division and/or graduate level;
- Experience in having served on or chaired thesis/dissertation committees or directed other appropriate research;

- Current and continuing interest in creative research as evidenced by ongoing scholarly activity, usually resulting in peer-reviewed publication (e.g., three refereed publications/activities in the field within the past five years); and
- The recommendation of a majority of full members of the graduate faculty in the department.

Reviews and requests for reappointment are conducted at five-year intervals. Full members may teach graduate courses (course 500 or higher), serve on graduate degree examination committee, serve on master's thesis and Ph.D. Dissertation committees, and chair doctoral dissertation advisory committees and master's thesis committees.

Administrative appointees to the Graduate Faculty are for a specified period of time and must have:

- A terminal degree or special expertise relevant to serving on a thesis/dissertation committee or teaching a graduate course; and
- The recommendation of majority of graduate faculty in appropriate department.

2.5.10 University Libraries

The Dean of the University Libraries reports to the Senior Vice President for Academic Affairs and to the Vice President for Health Sciences and is responsible for the proper administration of both the University Library and the Biomedical Library. The Dean's responsibilities include:

- Formulation and supervision of policies and regulations governing the use of the libraries, materials, and services;
- Supervision of the Biomedical Library;
- Supervision of the Mitchell College of Business Library;
- Supervision of the McCall Rare Book and Manuscript Library;
- Supervision of the library staff, including evaluations and making recommendations for appointments, promotion, and tenure to the Senior Vice President for Academic Affairs and Vice President for Health Sciences;
- Administration of library budgets;
- Supervision of the ordering, cataloging, binding, and storage of all library materials;
- Making the resources and services of the libraries well known to potential users;
- Preparation of reports, studies, and analyses that describe and evaluate library collections, services, and uses;
- Cooperation with other librarians for the improvement of common holding services;
- Receiving and considering recommendations and suggestions from the student body which may aid in improving collections, services, and uses of the Libraries;
- Serving as *ex-officio* member of the University Library Committee;
- Carrying out other duties as assigned by the Senior Vice President for Academic Affairs.

2.5.11 University of South Alabama Baldwin County Campus

2.5.11.1 Director

The Director of USA Baldwin County reports to the Associate Vice President for Regional Campus and has the following responsibilities:

- Facilitate the development and general supervision of the USABC curriculum;
- Serve on committees;
- Plan and supervise the USABC budget;
- Carry out assignments made by the Associate Vice President for Regional Campuses.

2.5.12 Office of Enrollment Services

2.5.12.1 Director, Enrollment Services

The Director for Enrollment Services reports to the Senior Vice President for Academic Affairs and is responsible for the Offices of Admissions, New Student Recruitment, New Student Orientation, International Student Services, Career Placement Services and Student Publicity.

2.5.12.2 Director, Admissions

The Director of Admissions reports to the Director for Enrollment Services and has the primary function of facilitating the acceptance of qualified students applying for admission to the University of South Alabama, evaluating all applications for admission, including transfer credit. The Director is responsible for the initiation of the student data base, including the collection of statistical information used to establish the student's permanent record. The Director has the additional responsibility of high school and junior college visitation and student recruitment.

2.5.12.3 Director, New Student Recruitment

The Director of New Student Recruitment reports to the Director for Enrollment Services and is responsible for developing and implementing strategies to identify and recruit new students to the University.

2.5.12.4 Director, International Student Services/Admissions

The Director of International Student Services/Admissions assists international students with problems encountered in making the transition from native lands to the U.S. and the University of South Alabama. The Director establishes and maintains the Share Team to work with all entering students in making the transition to university life.

2.5.12.5 Director, Career Services Center

The Director of Career Services Center supervises a cooperative education program that offers qualified students an opportunity to alternate or schedule concurrent periods of employment with periods of study at the University and acts as a catalyst for institutional and student responses to changing employment conditions. Other duties include assisting students in becoming more knowledgeable about career opportunities, keeping employers informed about the number of students by discipline who are degree candidates, informing students of employers who will be recruiting for positions for which students will be interviewing, maintaining files on students registered with placement, assisting students as they begin career searches and assisting in developing proper interviewing techniques, and working with alumni seeking change of position.

2.5.13 Office of the Registrar

2.5.13.1 University Registrar

The University Registrar reports to the Senior Vice President for Academic Affairs and is responsible for monitoring the release of specific student data and for maintaining the integrity of all student records, i.e., ensuring the accuracy, confidentiality and security of these records. The University Registrar supervises the organization and maintenance of all student academic records systems including readmission of former students, registration, and transcripts; the Office of Veteran Affairs; the coordination of student academic data with the Computer Center; the development and implementation of new technological applications; and the management of budgetary matters and personnel for the Offices of the Registrar and Veteran Affairs. The University Registrar is the certifying official for enrollment, degree verification, NCAA student athlete academic eligibility, and is an ex-officio member of the Admissions and Records Committee and serves on other University committees by appointment.

2.5.13.2 Senior Associate, Associate, and Assistant Registrars

The Senior Associate Registrar, Associate Registrar, and Assistant Registrar report to the University Registrar; and assist in the supervision and coordination of all aspects of the Registrar's Office such as graduation, registration, academic records functions, and general office supervision, including student assistants. The Senior Associate Registrar also assists in the management of budget and interacts with the Deans, faculty, staff, and students concerning the implementation of University policies and procedures. In the absence of the Registrar, the Senior Associate Registrar assumes responsibility for the office.

2.6 Division of Health Sciences

The Division of Health Sciences includes the Pat Capps Covey College of Allied Health Professions, The College of Medicine, and the College of Nursing.

2.6.1 Vice President for Health Sciences

The Vice President for Health Sciences reports to the President and is the principal academic officer for the academic programs in the College of Medicine, Pat Capps Covey College of Allied Health Professions, College of Nursing and the graduate medical education programs at the USA Hospitals. In this capacity, the Vice President has administrative responsibility and authority for these academic programs and for the faculty and staff in the three colleges. The Health Services Foundation reports to the Vice President for Health Sciences.

2.6.2 Pat Capps Covey College of Allied Health Professions

The Pat Capps Covey College of Allied Health Professions consists of the Departments of Biomedical Sciences, Cardiorespiratory Care, Emergency Medical Service, Occupational Therapy, Physical Therapy, Physician Assistant Studies, Radiological Sciences, and Speech Pathology and Audiology.

2.6.2.1 Dean

The Dean is the executive officer of the college and reports to the Vice President for Health Sciences. Responsibilities of the Dean are described in section **2.7**.

2.6.2.2 Associate Dean

The Associate Dean reports to the Dean and has the following responsibilities:

- Development of class schedules in the college;
- All matters related to curriculum;
- Registration activities;
- Evaluation of student transfer records;
- All matters pertaining to student program admissions, records, credit by examination, advanced credit, and student advising;
- Development, supervision, and administration of college graduate programs;
- Student recruitment and retention;
- Other duties as assigned by the Dean.

2.6.2.3 Department Chairs

The department chairs report to the Dean and serve as senior administrative and academic officers for their departments. Departmental chair functions are described in section **2.8.1**.

2.6.2.4 Standing Committees

- Academic Standards Committee (for each department)
- Admissions Committee (for each department with Professional Components)
- Council of Chairs
- Curriculum Committee
- Faculty Tenure Committee

- Faculty Promotion Committee

Operational policies and criteria for the Admissions Committees are specified at the departmental level and are specified at the College/University level for all other committees.

2.6.3 College of Nursing

The College of Nursing consists of the Departments of Adult Health Nursing, Community/Mental Health Nursing, and Maternal/Child Health Nursing.

2.6.3.1 Dean

The Dean is the executive officer of the college and reports to the Vice President for Health Sciences. Responsibilities of the Dean are described in section 2.7.

2.6.3.2 Associate Dean, Academic Affairs

The Associate Dean for Academic Affairs reports to the Dean and has the following responsibilities:

- Provide leadership in the development and maintenance of college academic programs;
- Assist in promoting the image of the college through community service and public relations activities;
- Represent college on standing and ad hoc committees;
- Participate in grant development to support college programs;
- Serve as Director of Graduate Studies;
- Oversee recruitment, retention, registration, student advisement, and course scheduling activities;
- Ensure compliance of academic programs with accreditation and approval organizations;
- Maintain liaison with other colleges of the University;
- Perform other duties and functions as may be assigned by the Dean;
- Coordinates the nursing convocation;
- Other duties as assigned by the Dean.

2.6.3.3 Associate Dean, Research and Development

The Associate Dean for Research and Development reports to the Dean and has the following responsibilities:

- Promote the image of the college through community service;
- Garner and coordinates resources for assisting faculty with grant proposals, research projects, publications, presentations;
- Supervise faculty practice plan agreements;
- Coordinates computer and learning resources of college;

- Facilitates programs for faculty development and continuing education;
- Oversee evaluation activities of the college;
- Coordinate activities related to accreditation procedures for the college;
- Develop and implement activities to build alumni support;
- Represent college on standing and ad hoc committees;
- Other duties as assigned by the Dean.

2.6.3.4 Associate Dean, Baldwin County Campus

The Associate Dean for the Baldwin County Campus reports to the Dean and has the following responsibilities:

- Provide leadership for faculty, staff, and nursing students on the Baldwin County Campus
- Oversee student services for the college's Baldwin County campus
- Manage College of Nursing Baldwin County facilities, furnishings, and equipment
- Promote the image of the Baldwin County campus
- Interact with agency representative in the Baldwin County area to assist with clinical placements for students
- Other duties as assigned by the Dean

2.6.3.5 Department Chairs

The department chairs report to the Dean and serve as senior administrative and academic officers for their departments. Departmental chair functions are described in section **2.8.1**.

2.6.3.6 Standing Committees

- Evaluation Committee
- Graduate Admissions and Progression Committee
- Graduate Curriculum Committee
- Graduate Faculty Organization
- Heritage Committee
- Learning Laboratory/Computer Resources Center
- Student-Faculty Committee
- Undergraduate Admissions and Progression Committee
- Undergraduate Curriculum Committee
- Undergraduate Faculty Organization

2.6.4 College of Medicine

2.6.4.1 Dean

The Dean is the executive officer of the college and reports to the Vice President for Health Sciences. Responsibilities described in section 2.7.

2.6.4.2 Associate Dean for Medical Education and Student Affairs

The Associate Dean for Medical Education and Student Affairs reports to the Dean of the College of Medicine concerning educational activities of the college including Academic and Student Affairs, and has the following responsibilities:

- Administers the Office of Student Affairs and the Division of Medical Education, including the Offices of Student Records and Financial Aid;
- Works with the Curriculum Committee in development and administration of the undergraduate medical education program;
- Administers the National Resident Matching Program including the Match Week activities;
- Coordinates college Honors Convocation and related activities;
- Supervises Assistant Deans for Medical Education and Student Affairs;
- Accepts special assignments from the Dean.

2.6.4.3 Assistant Dean for Faculty Affairs

The Associate Dean for Faculty Affairs reports to the Dean of the College of Medicine concerning activities related to faculty appointments, evaluation, and promotion/tenure in the college and has the following responsibilities:

- Oversees the Office of Faculty Affairs;
- Works with the Faculty Committee on Appointments, Promotions, and Evaluations regarding the process of appointments and promotions;
- Maintains the Faculty Reference Manual;
- Works with the Director of the Office of Faculty Affairs to coordinate faculty orientations, department in-service sessions, and faculty development workshops;
- Liaison with the Association of American Medical Colleges Group on Faculty Affairs;
- Accepts special assignments from the Dean.

2.6.4.4 Assistant Deans

Assistant Deans in the College of Medicine oversee activities in the areas of admissions, diversity and cultural competence, medical informatics, as well as undergraduate, graduate and continuing medical education.

2.6.4.5 Department Chairs

College of Medicine department chairs report to the Dean and serve as senior administrator officers for their department. Chairs work with the Dean's office on issues related to budget, faculty and research development. Chairs are responsible for faculty evaluation and development.

2.6.4.6 Standing Committees

As outlined in the Faculty Assembly Bylaws:

- The Executive Council shall consist of the dean, the associate deans, department chairs, and three at-large members elected by the faculty assembly for a term of three years, each with one vote; assistant deans, the Administrator of the USA Hospitals and Clinics, the Director of the Graduate Program, the President of the Health Services Foundation, and the President of the Faculty Senate shall be ex-officio members of the Council;
- The Committee on Committees consists of four members of the Faculty Assembly elected annually from its membership whose function is to advise and consult with the Dean on the membership of committees;
- The Committee on Admissions considers and recommends admission policies that are approved by the Board of Trustees; the Committee has the total and absolute authority to select those applicants who best fulfill the stated qualifications.
- The Curriculum Committee is charged with development and supervision of the undergraduate medical educational programs;
- The Student Promotions and Evaluations Committee is charged with the overview of the progress of medical students and recommends their promotion and/or graduation to the Dean of the college;
- The Institutional Review Board is a federally mandated committee that formulates policies and reviews all research involving the use of human subjects;
- The Institutional Animal Care and Use Committee is a federally mandated committee that approves all use of animals in research and teaching;
- The Faculty Committee on Appointments, Promotions and Evaluations is charged with the development of policies and standards for appointment, promotion and tenure;
- The Student Research Committee administers and oversees the medical student summer research program;
- The Graduate Medical Education Committee is appointed by the Vice President for Health Sciences to oversee the general operation of the residency programs at the USA Hospitals and affiliated facilities;
- The Continuing Medical Education Committee is responsible for the development and conduct of continuing medical education programs as well as the quality of such programs.

2.6.4.7 Faculty Assembly

The Faculty Assembly consists of all full-time faculty holding the rank of Instructor or above in the College of Medicine. Officers of the Faculty Assembly are the President, Vice President (President Elect), Immediate Past President and Secretary who are elected annually by the membership.

The By-laws of the College of Medicine can be found in Appendix **10.2**.

2.7 Administration of Colleges/Schools

Role and Responsibility of the Dean

As the executive officer, the Dean provides leadership in setting the direction of the college/school. With input from appropriate constituency groups, the Dean is responsible for establishing a vision for the college/school, for creating a strategic plan and for

evaluating the college/school's overall effectiveness in achieving the stated goals and objectives. The responsibilities of the Dean include:

- Develop academic programs of the college/school compatible with the mission statement of the University;
- Evaluate and make recommendations for appointment, reappointment, promotion, tenure, dismissal, and salary of faculty members in consultation with appropriate chairs, and departmental committees;
- Evaluate and make recommendations for appointment, reappointment, dismissal, and salary of departmental chairs and associate deans in consultation with the Senior Vice President for Academic Affairs/Vice President for Health Sciences and departmental chairs;
- Evaluate and make recommendations for appointment, reappointment, dismissal, and salary of college/school office personnel;
- Foster faculty development in teaching, research, and service;
- Assign academic and professional responsibilities to the faculty, and associate deans;
- appoint faculty to committees to assist in the developing of curricula and programs and policies pertaining to the academic affairs of the college/school;
- Recommend faculty appointments to the University committees;
- Maintain adequate personnel and financial records of the college/school;
- Conduct meetings for faculty and chairs to ensure effective communications;
- Administer and supervise the academic programs, departments, policies, and regulations of the college/school;
- Develop and supervise the academic (and clinical) schedules of the programs of the college/school;
- Coordinate college/school programs with other colleges and divisions of the University;
- Maintain academic standards and enforce policies and procedures of the University, the college/school, and the departments;
- Establish the criteria for eligibility of students to enter and graduate from the programs of the college/school;
- Certify completion of degree requirements by candidates for graduation;
- Approve the credits offered by students in partial fulfillment of the requirements for the respective programs administered by the college/school;
- Provide leadership in all matters relative to the accreditation/reaccreditation of college/school programs;
- Prepare, recommend, and administer the budgets of the college/school;
- Assign space, facilities, and equipment resources allocated to the college/school;
- Recommend and oversee college/school facilities alterations, remodeling, and new construction;
- Review all publications originating within the college/school;
- Promote the image of the college/school and University through public relations and service activities;
- Perform such other duties and functions as deemed to be in the best interest of the college and University;
- Perform such other duties and functions as assigned by the Senior Vice President for Academic Affairs/Vice President for Health Sciences.

2.8 Administration of Academic Departments

2.8.1 Role and Responsibility of the Department Chair

The department chair is both a faculty member and an administrator. The basic orientation is toward the role of a faculty member, but the chair also functions as an administrator and performs as an integral member of the administration. The department chair is responsible for the general direction and supervision of the department, reporting to the Dean of the respective college. The department chair is responsible for:

- Planning, recruiting, and recommending the appointment of faculty members;
- Evaluating annually, and as directed, the performance of departmental faculty and making recommendations with respect to salaries, promotions, tenure, and retention;
- Measuring and reporting student learning outcomes to continuously improve each program within the department;
- Planning and recommending departmental programs and curricular changes, additions and deletions, coordinating with others when needed and as directed;
- Recommending departmental class schedules, semester and annually;
- Planning and recommending departmental space needs;
- Developing and supervising a departmental protocol for advising students;
- Recommending annual budget requests, and after appropriations, supervising expenditures;
- Serving as custodian of all instructional property assigned to the department, including receipt, assignment, and eventual disposition;
- Teaching and conducting research/scholarly activities;
- Promoting/advancing the research productivity of faculty;
- Promoting excellence in teaching and learning;
- Performing other duties as assigned by the Dean, including special projects.

Further detail and elaboration of the role, responsibilities, and duties of the Department Chair are given below.

2.8.2 Departmental Governance

2.8.2.1 *The Position of the Chair*

The department chair is the chief administrator of the department and shall be responsible for the academic, personnel, financial, and administrative needs of the department. The department chair has two primary responsibilities: administrator of the department and academic leader of that faculty in the development of the department's programs. The faculty should have a deep interest in the administrative decisions that condition the department's capacity for implementing its policies. Consequently, continuing interaction must occur between the chair and the faculty in a climate of mutual respect and in recognition of their respective roles as outlined in this policy.

By virtue of the position, the chair is able to initiate actions and establish procedures, and should regard it as a specific responsibility to see that the faculty have adequate opportunity to discuss all matters, even those primarily administrative, that bear upon the department's development and direction.

The chair has a responsibility to promote appropriate communications and to keep faculty members informed of matters affecting the department.

The chair's leadership of the department includes securing the advice of the faculty and keeping them informed, not only of formal administrative decisions, but, also, of broad directions and developments in the formative stage. In short, faculty members should participate in the affairs of the department, and the chair must encourage the faculty to become actively engaged in departmental planning.

2.8.2.2 General Guidelines for Departmental Chairs

Inasmuch as departments vary greatly in size and complexity, methods appropriate for one may be inappropriate for another. Each chair will be expected, however, to submit to the Dean of the college an acceptable arrangement to assure appropriate consultation with the faculty. In matters for which the faculty have primary responsibility, e.g., curricula, standards of instruction, and requirements for degrees, action will be required by the faculty as a whole or by a representative committee of the faculty. In transmitting recommendations on such matters, the chair must certify that the action has been approved by the faculty or by such a committee. In matters for which the chair has primary responsibility, e.g., recommendations for appointments and reappointments, promotions, leaves, salary increases, budgetary allocations, and the general administration of the department, appropriate consultation with the faculty is expected before a decision is reached.

Advisory committees may be helpful, particularly in the larger departments. The formality of this advisory machinery may be left to the discretion of the chair as well as the makeup or method of selection of such committees. However, the chair should take care to involve most, if not all, of the faculty in departmental decision-making activities and should not depend exclusively upon a few especially compatible colleagues. Two points should be remembered: 1) The chair is expected to seek advice; 2) final decisions at the departmental level on these matters are those of the chair and must be considered as final departmental decisions.

Departmental faculties should have ample opportunity to meet as a body to discuss departmental business. Departmental meetings should be scheduled regularly, at least, bi-monthly, unless the faculty (not the chair) feel the informal contacts of daily operations make such formal sessions superfluous. Informal contacts would presumably suffice only in small departments.

In addition to regularly scheduled meetings, a departmental meeting should be called whenever at least one-third of the faculty request a meeting. Opportunity should be given at any such meeting for the discussion of new and old business without limitation, except as faculty members themselves might rule to limit discussion. The chair should not restrict the

agenda of a meeting or abruptly terminate a meeting unless a majority of the faculty agree to such arrangements.

Minutes of departmental meetings should be prepared and distributed to the departmental faculty, the Dean of the college, the associate dean of the college, and the Senior Vice President for Academic Affairs. A copy should be retained on file in the department.

Because the perspectives of students can add a valuable component to department planning, the chair should implement appropriate processes to ensure adequate opportunities for student input.

2.8.2.3 Responsibilities of Departmental Chairs

- **Academic Responsibilities**

The department chair will involve the faculty in determining educational policy within the broader outlines of those policies already established within the college and the University. Such departmental policy would include the establishing of curricula and departmental majors, developing the department's faculty, establishing standards of instruction, evaluating instruction within the department, and determining requirements for graduation. Health Sciences chairs also oversee and/or approve clinical activities in the Colleges of Allied Health Professions, Medicine, and Nursing. Thus, the department chair should encourage excellence in teaching; engage the faculty in the evaluation of teaching; establish appropriate arrangements for the supervision and approval of graduate theses/dissertations and for the advising and guidance of both undergraduate and graduate students within the department; encourage the organization and operation of appropriate student seminars, convocations, student groups, and clubs within the department; participate in teaching and research; maintain appropriate relationships with the technical, scientific, and scholarly organizations within the discipline; and effect an appropriate library collection. Those departmental operations that concern primarily the formulation of educational policy, including curriculum requirements, are the primary responsibility of the faculty. The faculty must act to effect changes.

- **Personnel Responsibilities**

The department chair must assist the Dean and the faculty in recruiting capable faculty by making appropriate recommendations to the Dean; ensuring that appropriate departmental members are recommended for membership to the faculty of the Graduate School; making all other pertinent recommendations about personnel to the college Dean; encouraging effective teaching; encouraging research, writing, and other creative endeavors of departmental members; organizing and supervising the operation of appropriate faculty members and convocations; and assisting, on occasion, in selecting a replacement chair.

- **Financial Responsibilities**

The department chair must be involved with budget preparation and with administering the departmental budget, making recommendations to the Dean relative to promotions, salaries, tenure, faculty evaluations, leaves of absence, etc. for departmental faculty members.

- **Administrative Responsibilities**

The department chair, as the chief administrative officer of the department, shall be responsible for the programs of the department; supervision of the department's staff members, initiating and securing textbook lists for classroom use; preparation of class schedules and teaching assignments; maintaining a liaison with other department chairs, officers of the Graduate School and of the University; supervision and management of the physical facilities assigned to the department; making appropriate arrangements for advising student majors of the department; cooperating with and assisting the Dean in evaluating and promoting development of the department's programs of instruction; development and maintenance of contracts with research organizations and foundations on and off campus and with appropriate business, professional, and public groups; serving as liaison between the department and other academic units of the University. The chair will serve, when assigned, as a member of college or University committees.

Department chairs, when appropriate, may assign responsibility for program coordination, including observation of classroom instruction and assessment of student learning outcomes, to persons academically qualified in the field.

- **Observation by Supervisors**

Because of the usefulness of having firsthand information about an instructor's teaching effectiveness, a faculty member's classroom instruction may be observed by an authorized supervisor, such as a Dean, department chair or his/her designee. Such observation is justified where the purpose of the observation is to evaluate the instructor for advancement purposes or to enhance instruction.

Observation of online classrooms by supervisors is to be done in a way that parallels that of traditional classrooms as closely as possible. To this end, supervisors' observation of online classrooms shall be done using a read-only viewing mode. Furthermore, because faculty teaching in a traditional classroom are aware of supervisory observations, faculty teaching online courses shall be informed that a supervisor will have access to the faculty's online course for evaluation purposes and shall be notified of when the observation took place and what was observed.

Supervisors who need to view a classroom instructor's gradebook, or feedback provided on individually submitted student work (such as completed papers, tests, and quizzes), may request that such materials be provided by the instructor.

Given the wide variability in disciplines that can affect pedagogical considerations such as format, objectives, content, and methods, departments and/or colleges may elect to develop specific written policies in addition to these general guidelines regarding the conditions regulating classroom observation. Once approved by the dean, these policies will be made available to the faculty.

2.8.2.4 Appointment of Chairs

Chairs should be appointed after consultation with, and normally in conformity with the judgment of, the members of the department. The chair's appointment will be recommended by the Dean of the involved college to the Senior Vice President for Academic Affairs/Vice President for Health Sciences who, if in agreement, will recommend the appointment to the President of the University.

Chairs may be appointed to term appointments upon recommendation by the college Dean to the Senior Vice President for Academic Affairs/Vice President for Health Sciences, after consultation with the departmental faculty.

2.8.2.5 Evaluation of Chairs

Each chair is evaluated annually by the college Dean with formal input from departmental faculty.

2.8.3 Access of Department Chairs to the Senior Vice President for Academic Affairs/Vice President for Health Sciences

Except in unusual circumstances, departmental chairs should conduct official university business through the Deans of their respective college/school rather than communicating directly with the Senior Vice President for Academic Affairs or the Vice President for Health Sciences.

Ordinarily, a chair who wants to make an appointment with the Senior Vice President for Academic Affairs or Vice President for Health Sciences on official business must inform them of the purpose of the meeting and obtain his/her approval. The Dean may choose to accompany the chair, but in any event, the Dean must be informed of the outcome of the meeting.

If the chair wishes to make an appointment with the Senior Vice President for Academic Affairs or Vice President for Health Sciences concerning a subject that is personal in nature, or of a special sensitivity, and there is a reasonable basis for requesting confidentiality, the chair should inform the appropriate vice president accordingly.

The purpose of this procedure is not to restrict access but to establish and maintain appropriate and effective communication lines, simultaneously preserving and enhancing the proper authority of both college dean and chair.

2.9 Division of Student Affairs

2.9.1 Vice President for Student Affairs

The Vice President for Student Affairs reports to the President and is responsible for the operation, coordination, and supervision of student housing; counseling and testing services; student center; bookstore; food services; university auxiliaries; campus police; student programs and events; multicultural affairs; student organizations and activities; Upward Bound; Talent Search; and intramural and recreational sports. The Vice President coordinates several campus-wide honoraries.

2.9.2 Assistant Vice President and Dean of Students

The Assistant Vice President and Dean of Students reports to the Vice President for Student Affairs. The following offices report directly to the Dean of Students: Multicultural Student Affairs, Student Center, Campus Recreation, Counseling and Testing, Special Student Services, Student Government Association, and Post Office. The Dean of Students office oversees disciplinary procedures.

2.9.3 Assistant Director, Student Activities

The Coordinator of Student Activities is responsible for developing and implementing university guidelines for student organizations in the Office of Campus Involvement. Duties include registering each organization and publishing an annual directory; supervision of the Greek sororities and fraternities and their social and philanthropic events, and advisor to the Inter-Fraternity Council, and the Panhellenic Council. Additional responsibilities include coordinating an annual student leadership development conference and, drug and alcohol awareness programming.

2.9.4 Director, Multicultural Student Affairs

The Director of Multicultural Student Affairs provides programs and services for minorities in conjunction with the Student Activities Office; develops and implements retention programs; serves as a liaison with the community; provides advice and counsel to students; and serves as advisor to the National Panhellenic Council.

2.9.5 Director, Housing

The Department of Housing offers a wide range of housing options to meet the needs of a diverse student body. These options include traditional residence halls, apartment-style buildings, suite-style buildings, and a limited number of efficiency apartments and private rooms.

2.9.6 Associate Dean of Students, Campus Life

The Associate Dean of Students, Campus life is responsible for the operation and maintenance of the Student Center and coordination of the various activities of the Center.

The Student Center Services Office makes Student Center room reservations and processes photo I.D. cards.

2.9.7 Director, University Programs

The Director manages the Programs and Special Events Office, which presents educational activities outside the classroom, implementing activities that serve the cultural, educational, social, and recreational interests of students.

Student Programming functions through committees, such as Fine Arts, Horizons, Club South, Trips and Tours, Concerts, Movies, Special Events, Technical and Promotions. Students select, publicize and produce the events. A monthly campus-wide activities calendar is printed and distributed to the faculty, staff, and students.

2.9.8 Director, Counseling and Testing Services

The Department of Counseling/Testing Services is staffed by professional counselors who are available to assist students, faculty, and staff with personal, academic, and vocational concerns. Psychotherapy is provided by qualified psychologists and counselors. Referrals are made to various agencies. In addition, a Center for Substance Abuse Education and Prevention provides assessment, counseling, intervention, and referral services for University students and employees. Testing services provided include standardized tests such as ACT, GRE, and MCAT, as well as individualized intelligence, personality, and interest tests; professional tests such as the CLU, CFP, CDP and achievement tests (CLEP).

2.9.9 Director, Campus Recreation

The Director of Campus Recreation is responsible for the operation and maintenance of the Student Recreation Center and recreation programs; including: intramural, open recreation, fitness activities, sport clubs, and outdoor recreation.

2.9.10 Assistant Dean of Students, Student Services

The Assistant Dean oversees the Office of Special Student Services, which offers special services to students with disabilities. Students who register with this office must submit documentation regarding their disabilities. Services provided are: priority registration, counseling, advocacy training, enlargements for the visually impaired, interpreters for the deaf, assistance in obtaining recordings for the blind, and arrangements for accommodations in and out of the classroom as covered under Section 504 of the Rehabilitation Act of 1973 and the ADA Amendments Act of 2008.

Talent Search is a federally funded program which identifies at-risk young people in middle schools and high schools with potential for postsecondary education. High school dropouts are also encouraged to return to school. Tutoring for the program participants is provided by USA students.

2.10 Division of Financial Affairs

2.10.1 Vice President for Financial Affairs

The Vice President for Financial Affairs (VPFA) provides general supervision and recommends policies for all financial affairs and reports to the President with responsibility for all institutional books of account, University and Hospital accounting, Fiscal Reporting, Budgetary Controls, Investments, Purchasing, Student Accounting, Accounts Payable, Payroll, Human Resources, Grants and Contracts Accounting, and Financial Aid Accounting. The Vice President for Financial Affairs also is responsible for all matters related to plant operations and facilities, buildings and grounds.

2.10.2 University Treasurer

The Treasurer's duties include overall management of the University's Tax Accounting Office, financial reporting for the USA Research and Technology Corporation, certain oversight and management of USA HealthCare Management, LLC, and management of certain aspects of bond issues, real estate holdings, and other investments. The Treasurer provides support, also, to the Office of Institutional Research, Planning and Assessment, and the Office of Governmental Relations.

2.10.3 Investment Manager

The Investment Manager reports to the University Treasurer and is responsible for the day-to-day management of the University's cash flows and investments. This position also provides assistance to the Treasurer in the areas of bond issues and real estate holdings.

2.10.4 Assistant Vice President for Financial Affairs - Accounting

The Assistant Vice President for Financial Affairs – Accounting reports to the Vice President for Financial Affairs and has oversight of the Controller, the Assistant Controller, and the Director of Research Accounting. These positions provide general supervision for the accounting and budgeting functions of the University and work closely with accounting management of the USA Hospital.

2.10.5 University Controller

The Controller reports to the Assistant Vice President for Financial Affairs – Accounting and has responsibility for and oversight of the general accounting functions of the University including the Assistant Controller, Business Office, Office of Accounts Payable, Purchasing Office, and Payroll Office. The Controller and these offices work closely and provide support for other University Divisions and Departments.

2.10.6 Assistant Vice President for Financial Affairs - Budgeting

The Assistant Vice President – Budgeting reports to the Vice President for Financial Affairs and is responsible for the University General Operating Budget. This position assists financial and executive management in developing and evaluating the University's operating

budget and budgeting process. The Budget Office works closely with the financial staff at the Hospitals and Clinics to ensure the University's budget is presented accurately to the Board of Trustees and that all required budget reports are submitted to the State of Alabama.

2.10.7 Assistant Vice President for Human Resources

The Assistant Vice President for Human Resources reports to the Vice President for Financial Affairs, provides supervision for Human Resources offices on the main campus, the USA Medical Center and USA Children's and Women's Hospital, and partners with senior management to provide services and consultation on human resources issues. Responsibilities include, but are not limited to, oversight and policy recommendations for employee fringe benefits, staff employment, staff compensation/classifications, staff performance management, and employee relations.

2.10.8 Director of HR Benefits and Employee Relations

The Associate Director for Human Resources is responsible for the day-to-day administration of employee fringe benefits programs/planning, including, but not limited to, health/dental plan, flexible spending accounts plan, retirement plans, life insurance and long-term disability plans, tax-sheltered annuity programs, tuition reimbursement program, staff recruitment and hiring, and staff performance and disciplinary matters.

2.10.9 Assistant Vice President for Financial Affairs – Student Financial Services

The Assistant Vice President for Financial Affairs – Student Financial Services reports to the Vice President for Financial Affairs and is responsible for general supervision of Financial Affairs functions related to student financial services. This includes oversight of the Manager of Student Accounting and the Director of Financial Aid, coordination of services with other student service areas such as Registrar and Admissions, and other related special projects.

2.10.10 Director of Financial Aid

The Director of Financial Aid is responsible for providing assistance to eligible students through a multitude of Federal, State, institutional, and private programs. The Director is responsible for establishing the necessary procedures to ensure all applicable regulations are observed in filing all agreements, applications for funds, and operating reports within the specified time requirements for each. This office also handles scholarships.

2.10.11 Director of Risk Management and Insurance

The Director of Risk Management and Insurance plans and coordinates the University's risk management and insurance programs. The Director oversees both the professional and general liability self-insurance programs and acts as Trust Fund Administrator for both. This position also oversees the property insurance coverage through the Alabama State Insurance Fund program, and all other coverages purchased by the University in the

commercial insurance market. The Director maintains the incident reporting system for the entire USA system, including patient, employee, student, and visitor incidents.

2.10.12 Director of Facilities Management

The Director of Facilities Management supervises the departments of Engineering Design and Construction, Maintenance, Custodial Services, Grounds, Renovations, USA Spring Hill Avenue Campus (SHAC), Central Utilities, and Electrical Distribution.

2.10.13 Assistant Controller/Facilities Finance Director

The Assistant Controller/Facilities Finance Director is responsible for the financial management of the Facilities area. This includes department budgets, tracking project budgets and day-to-day office operations.

2.10.14 Executive Director of Information Technology

The Executive Director of Information Technology oversees the University Computer Services Center and is responsible for the overall direction and coordination of all University computing activities and telecommunications, including assessment of needs and approval of purchases of computer systems and telecommunication services.

2.11 Office of Development and Alumni Relations

2.11.1 Vice President for Development and Alumni Relations

The Mission of the Office of the Vice President of Development and Alumni Relations is to develop the strong alumni support and the private gift support programs necessary to assist the University of South Alabama achieve its purpose.

2.11.2 Director, Advancement Services

The Director is responsible for developing and executing University (non-medical) annual giving programs and central support university-wide for donor records, gift processing prospect management, stewardship, development publications and newsletters, and prospect /donor research.

2.11.3 Director, Alumni Relations

The Director is responsible for all general University alumni programs, chapters, and societies, managing the National Alumni Board, executing the Association Strategic Plan (does not include College of Medicine Alumni Association), and related programs.

2.11.4 Director, Health Sciences Development and Alumni Relations

The director is responsible for all private giving programs, development communications, and stewardship for University Medical Clinics, Children's and Women's Hospital, and the USA Medical Center.

2.11.5 Director, Hospital Development

The Director is responsible for all development programs, communications, and stewardship for the College of Medicine, Nursing, and Allied Health, and for the college of Medicine Alumni Association and related programs.

2.11.6 Associate Director, Planned Giving

The Associate Director is responsible for promoting, educating and soliciting alumni and friends of USA for deferred gifts to support the academic, medical and athletics programs.

2.11.7 Director, University Development

The director is responsible for all private gift programs to support the general University and all colleges and schools (save those in Medical Development and Athletics).

2.12 Office of Research Administration

2.12.1 Vice President for Research Administration

The Vice President for Research is responsible for the oversight of university sponsored activity. Offices reporting to the Vice President include the Office of Sponsored Programs, the Office of Grants Administration, USA Technology & Research Park, Technology Transfer Office, and the Office of Research Compliance and Assurance. Services to support sponsored activity include the functions of information dissemination on potential sponsored programs, proposal development and submission, technology transfer support, liaison with funding agencies, and contract / grant award negotiation. The Vice President serves as the Authorized Organizational Representative (AOR) to approve all sponsored activity proposals submitted to external agencies on behalf of the University. For further information, please go to the Vice President for Research website: <http://www.southalabama.edu/vpresearch/index.html>.

2.13 USA Health Systems

2.13.1 Vice President for Health Systems

The Vice President for Health Systems reports to the President and has the responsibility of administering the University Hospitals to ensure quality care to the patients it serves, working with other components of the Health Sciences Division to achieve the educational and research goals of the hospital and clinics. Additional responsibilities are related to the hospitals' organized medical staff and responsiveness to the needs of the individual physicians and patients.

2.13.2 Hospital Administrators

The Administrator and Assistant Administrator of each hospital, in collaboration with the medical staff, administrative team and department heads, provide leadership, planning, organization, and direction of the department and operation of the USA Hospitals.

2.13.3 Chief Nurse Officer

An Assistant Administrator at each hospital serves as the Chief Nursing Officer (CNO). The CNO is a qualified registered Nurse and is responsible for developing and implementing nursing policies and procedures, nursing standards of patient care, standards of nursing practice, and patient outcome assessment standards.

2.14 Mitchell Cancer Institute

The Mitchell Cancer Institute (MCI) provides clinical services, professional and community education, and outreach to the underserved in the Gulf Coast region and beyond. A strategic goal of the MCI is to become a National Cancer Institute (NCI) designated Comprehensive Cancer Center.

2.14.1 Director

The Director of the MCI reports to the President and serves as chief executive officer for the Institute. In this capacity, the Director has overall administrative responsibility and authority for the clinical, research, and academic programs of the MCI.

2.14.2 Associate Director for Basic and Translational Sciences

The Associate Director of Basic and Translational Sciences reports to the Director and serves as the chief scientific and operations officer for the research programs of the Institute. The Associate Director, also, serves as the intellectual property officer for the MCI.

2.14.3 Associate Director for Prevention and Control

The Associate Director for Prevention and Control reports to the Director and provides leadership and administrative authority and responsibility for developing a robust, well-funded cancer prevention and control program essential to the institute's goal to achieve NCI designation.

2.14.4 Deputy Associate Director for Clinical Research

The Deputy Associate Director for Clinical Research reports to the Associate Director for Basic and Translational Sciences and serves as the physical-leader and advocate for the Institute's clinical trials portfolio and for the growth and scientific breadth and excellence thereof.

2.14.5 Deputy Director for Project Management

The Deputy Director for Project Management reports to the Director and has responsibility for diverse executive duties, predominantly including business development and professional and community outreach activities of the Institute.

2.14.6 Administrator, Interdisciplinary Clinical Services

The Administrator of Interdisciplinary Clinical Services reports to the Director for Basic and Translational Sciences and serves as administrative and operations officer for the MCI's clinical service programs.

2.14.7 Administrator, Interdisciplinary Research Centers

The Administrator of Interdisciplinary Research Centers reports to the Associate Director for Basic and translational sciences and serves as administrative officer for the research programs of the MCI.

2.15 University Standing Committees

The Senior Vice President for Academic Affairs appoints University Standing Committees at the beginning of each academic year. Appointees include faculty and students who have been recommended by the Deans of the various academic units. Service on such committees is part of a faculty member's responsibilities.

Standing committee proposals and recommendations are considered for policy decisions in each committee's focus area. Each committee submits a formal report to the President at the end of the academic year summarizing its activities. Copies of these annual reports are forwarded, also, to appropriate administrative officers of the University.

Chairs of standing committees are elected at the first meeting of each academic year, not later than October 1. The chair schedules regular meetings thereafter to review and discuss matters within the committee's area of focus and make recommendations to the President, with copies to other appropriate administrative officers. Copies of University Standing Committee rosters are distributed campus-wide when the respective chairs have been selected.

University Standing Committees are listed below with their respective charges:

- **Academic Calendar Committee:** reviews the academic calendar for future years.
- **Academic Computing Committee:** recommends and advises on the computer services to the academic units and serves as a liaison between faculty, students, and Computer Center personnel. The primary purpose of this committee is to provide a regular review of the current services and those planned that would have an impact on teaching and research. The committee meets regularly to assess information relative to new program planning and research projects.

- **Admissions and Records Committee:** recommends policy concerning student admission standards, recommendations concerning the structure and content of student records, and may assist in resolving borderline admission problems, when so requested by the Director of Admissions. The committee meets as required.
- **Bookstore Committee:** acts as a liaison between Bookstore personnel and the faculty, staff, and students relative to services, policies, procedures for ordering textbooks. The committee meets regularly to assure better communication between the Bookstore and its users.
- **Career/Placement Committee:** participates with the Director of the Career Placement Services formulating new policies, programs, and changes to existing policies and procedures. The committee advises the Associate Vice President for Enrollment Services and makes recommendations for changes. The committee meets regularly and annually reviews the administration and operation of the Career Services Center and submits an annual report to the Senior Vice President for Academic Affairs.
- **Course Fee Review Committee:** reviews proposals from departments to assess fees on particular courses; advises the President on whether to approve, deny, or modify requested fees; and oversees the review of departmental expenditures of course fee revenues to ensure that such fees are used for their intended purposes.
- **Library Committee:** formulates policies governing the use of library materials, explores methods of promoting library use, formulates policies relative to development of resources for teaching and research, and recommends allocations of library funds to departments for acquisition of books and library materials. Policy recommendations are made to the Senior Vice President for Academic Affairs and approved by the President. The committee meets regularly. The Dean of University Libraries and the Director of the Biomedical Library serve as ex-officio members of the committee.
- **Retention Task Force:** provides input and makes recommendations regarding retention and degree completion to the Council of Academic Deans and the University Academic Success and Retention Committee.
- **Scholarship and Financial Aid Committee:** recommends policy to be followed by the Financial Aid office in the administration of financial aid funds and scholarship funds, serves as an appeals board for students who wish to appeal denials of financial assistance, and advises on matters brought to it by the Director of Financial Aid. The committee meets on call and minutes are distributed to appropriate units of the University.
- **University Academic Standards Committee:** appointed each Fall Semester by the Senior Vice President for Academic Affairs, is composed of five faculty members and

two non-voting, upper division students. The committee charge is cited in the Student Academic Conduct Policy.

- **University Assessment Advisory Committee:** acts as knowledgeable point of contact for their division/unit regarding information about institutional effectiveness; reviews assessment data and provides guidance regarding the extent to which the University is progressing towards goals and the continued appropriateness of the University's Strategic goals and objectives; reviews data and provides guidance regarding the extent to which the University's assessment practice is effective and meaningful; and assists in identifying and recognizing exemplary assessment practices across the University.
- **University Committee on Electronic Learning:** institution-wide group representing colleges and units within the University charged with analyzing and providing input on topics related to e-learning.
- **University Committee on Planning, Assessment, and Finance:** includes membership from the university and local/regional community. The committee makes recommendations regarding development and/or modification of the University's Strategic Plan.
- **Writing Committee:** recommends and monitors "W" courses, schedules and conducts an annual Writing Seminar for faculty, and oversees assessment of the effectiveness of the writing Across the Curriculum program.

2.16 General University Committees

2.16.1 Undergraduate Curriculum Committee

The Undergraduate Curriculum Committee is a committee of the Division of Academic Affairs, the Pat Capps Covey College of Allied Health Professions, and the College of Nursing and is composed of representatives from each academic unit, who are recommended by the academic deans/directors. In addition, the Faculty Senate appoints one voting member to this committee. The members of the committee and chair are appointed by the Senior Vice President for Academic Affairs in consultation with the Vice President for Health Sciences. The general charge to the committee is to oversee all academic programs, with particular attention to curricular structure and development to ensure compliance with the University mission. The specific charge includes:

- review of all curricula for overlapping and duplication;
- review and recommend approval/disapproval of significant proposed curricular changes;
- review and recommend approval/disapproval of proposed curricula for new undergraduate programs and certificate programs;
- review and recommend approval/disapproval of proposed curricula changes for general education;

- recommendations concerning academic affairs as deemed appropriate;
- report on committee activities to the Senior Vice President for Academic Affairs and Vice President for Health Sciences as appropriate.

All curricular matters are routed through the Office of Academic Affairs to the Undergraduate Curriculum Committee. All requests for curricular and programmatic changes must be forwarded before October 31 of each year in order to appear in the next edition of the University Bulletin.

If/when a request has an impact, conflict, or relationship to another college/school, it is the responsibility of the Dean of the requesting college/school to inform the Dean of the other college/school. If there is a difference of opinion between colleges/schools, both sides should be allowed to present information to the Undergraduate Curriculum Committee before the Committee makes recommendation to the Senior Vice President for Academic Affairs and Vice President for Health Sciences as appropriate. When an inter-college conflict occurs, the recommendation from the Committee should include the vote as well as a principle/rationale.

Each curricular change request is logged in the Office of Academic Affairs at the time the completed form is distributed so that all curricular changes can be tracked by date.

2.16.2 Academic Affairs Policy Committee

The Academic Affairs Policy Committee is an ad hoc committee that reports to the Senior Vice President for Academic Affairs and is composed of four Academic Deans appointed by the Senior Vice President for Academic Affairs and four faculty members - Faculty Senate President, Vice President, Immediate Past President, and Chair of the Faculty Senates' University Policy and Faculty Handbook Committee. The general charge of the committee is to coordinate academic policy changes with Academic Affairs and the faculty. The positions of chair and co-chair of the committee rotate annually between the academic deans and the Faculty Senate.

2.16.3 Council of Academic Deans

There are two Councils of Academic Deans:

1. The Academic Affairs Council of Academic Deans is chaired by the Senior Vice President for Academic Affairs and is comprised of the full Academic Deans of the Colleges/Schools of Arts and Sciences, Business, Computing, Continuing Education and Special Programs, Education, Engineering, Graduate School and University Library. Deans in the Colleges of Allied Health Professions and Nursing participate, also. The Council meets regularly, deliberates on all academic and administrative matters, serves as an advisory council to the Senior Vice President for Academic Affairs, and is the decision-making authority on academic policies administered under the Senior Vice President for Academic affairs.
2. The Health Sciences Division Council of Academic Deans is chaired by the Vice President for Health Sciences and is comprised of the Deans of the Colleges of Allied

Health Professions, Medicine, and Nursing and other administrative officers appointed by the Vice President for Health Sciences as he/she deems appropriate and serves a similar function as the Academic Affairs Council for matters pertaining to the Health Sciences Division.

2.16.4 Fringe Benefits Committee

The Fringe Benefits Committee, appointed by the President, is chaired by the Vice President for Financial Affairs, and is composed of administration, faculty including the chair of the Faculty Senate Salaries and Benefits Committee, and staff members. The committee is responsible for reviewing and making recommendations to the President on all matters related to fringe benefits.

2.16.5 The Graduate Council

The Graduate Council consists of eight Directors of Graduate Studies and eight elected graduate faculty members. The directors and graduate faculty come from those academic units engaged in graduate study, i.e., one director and one graduate faculty member each from the colleges of Allied Health Professions, Arts and Sciences, Business, Education, Engineering, Medicine, and Nursing, and the School of Computing. A student member with full voting privileges is elected by the council each year from nominations made by Graduate Directors. The Faculty Senate also appoints one voting member to the Council. In addition, the Dean of Libraries, the Dean of the Graduate School, and the Senior Vice President for Academic Affairs serve as ex-officio members on the Council.

Only full members of the Graduate Faculty are eligible for election to the Graduate Council. (If this requirement imposes a hardship to an emerging program or smaller academic unit, the college Dean may request an exception be made by the Dean of the Graduate School.)

- The Director of Graduate Studies, appointed by the Dean of each academic unit, will serve as a member of the Graduate Council. The eight elected Graduate Council members serve staggered terms of three years each. Should a member fail to serve a full term of three years, a replacement member is elected (as described above) to complete the remaining portion of the term.
- The graduate student member of the council serves a one-year term and has full voting privileges. Student membership will rotate among schools and colleges in the same order in which they appear in the University Bulletin. College/School Graduate Directors nominate students to the Graduate Dean for approval. The term for a student member begins in the fall semester.

The Graduate Council serves as the advisory body to the Dean of the Graduate School on all matters of policy and procedure pertaining to the conduct of graduate education at the University of South Alabama.

2.16.6 Council on International Education

Appointed by the Senior Vice President for Academic Affairs and recommended by the Deans of the Colleges/Schools, the Council on International Education (USACIE) is

responsible for advising the President, Senior Vice President for Academic Affairs, and Vice President for Health Sciences on: advising/support on the administration and Resources of the Office of International Education; curricular and campus wide internationalization and cultural competence; international agreements and collaboration; strategic planning and benchmarking; health/safety/risk management for study abroad/international travel, standards and continuous improvement of the International Education functions; memberships in International Education organizations and related groups; development; and “State of International Education at USA” reports and recommendations.

2.16.7 Patent Review Committee

The Patent Review Committee, which is appointed by and reports to the President, consists of faculty members, the Director of Office of Technology Transfer, and the Vice President for Financial Affairs.

2.16.8 Scientific Misconduct Committee

The Scientific Misconduct Committee monitors and reports on findings pursuant to University policy for dealing with charges of misconduct in science. Members are appointed annually, usually for 3-year terms by the Vice President for Health Sciences. The committee works closely with and reports to the Vice President. Most of the members of the committee are basic science and clinical faculty in the Health Sciences Division; however, at least two members are appointed from other colleges in the University that are involved in research activities. This committee is the only one within the University that is charged to deal with issues related to integrity in the conduct of research. To be eligible to receive federal research funding, the University is required by the federal government to have an approved plan indicating how such issues of scientific misconduct are to be handled. See <http://southalabama.edu/researchcompliance/pdf/researchmisconductpolicy.pdf>.

2.16.9 Space and Facilities Committee

The Space and Facilities Committee is appointed by and reports to the President and is chaired by the Special Assistant to the President

2.16.10 University Committee for Undergraduate Research

The University Committee for Undergraduate Research, which is appointed by the Senior Vice President for Academic Affairs, is composed of faculty members from the colleges/schools of Allied Health Professions, Arts and Sciences, Business, Computing, Continuing Education, Education, Engineering, and Nursing. The purpose of the committee is to encourage students to become involved in basic research or similar scholarly activity in any discipline during their undergraduate education.

2.16.11 University Conflict of Interest Committee

The University Conflict of Interest Committee, which is appointed by the President, is chaired by the Vice President for Research or his/her designee, and includes the Associate

Vice President for Academic Affairs, Dean of the College of Medicine, and no less than three additional appointed members with broad representation across the University. The purpose of this committee is to serve as a deliberative body to consider matters involving conflict of interest (see section **7.4.3**).

2.16.12 University Honorary Doctoral Degree Committee

The University Honorary Doctoral Degree Committee is appointed by and reports to the President. The committee is co-chaired by the Senior Vice President for Academic Affairs and the Vice President for Health Sciences. The composition and duties of the committee are outlined in section **1.4**.

2.16.13 University Parking and Traffic Committee

The University Parking and Traffic Committee is appointed by and reports to the Vice President for Student Affairs and is composed of faculty, administrative staff, and students. The committee reviews issues related to parking and traffic control.

2.16.14 Faculty Development Council

The Faculty Development Council, which is appointed by the President and chaired by the Dean of Graduate Studies, is composed of term-appointed faculty representing all academic units as follows: one representative each from the college/school of Allied Health Professions, Business, Computing, Education, Engineering, Medicine, Nursing, and University Library; and five representatives from Arts and Sciences. The Faculty Senate appoints one voting member to the Council. The Dean of Graduate Studies serves as permanent chair of the Council and the Vice President for Research serves as an ex-officio member. The Council is specifically responsible for:

- formulation of policy concerning internally funded grants;
- issuing requests for internal proposals;
- conducting an annual meeting to review proposals for acceptance;
- allocating funds for grants that satisfy the requirements set forth by the Council;
- Planning for and holding an annual forum to celebrate research activities of faculty and graduate students.

2.16.15 General Education Committee

The General Education Committee is a committee of the Division of Academic Affairs and the Colleges of Allied Health Professions and Nursing. The members of the committee and chair are appointed by the Senior Vice President for Academic Affairs in consultation with the Vice President for Health Sciences. It is composed primarily of representatives having appropriate expertise in general education. Included in the membership to this committee will be the USA representative to Alabama Articulations and General Studies Committee (AGSC). Also, the Faculty Senate appoints one member to this committee. The general charge to the Committee is to oversee general education in the undergraduate curriculum to ensure compliance with the University mission. The specific charges include:

- define appropriate learning outcomes for general education at USA;
- regularly assess the status of accomplishment of these learning outcomes;
- review the assessments and recommend any needed changes in the general education curriculum to the Undergraduate Curriculum Committee for consideration;
- maintain a current knowledge of the statewide general education structure as administered by the Alabama General Studies Committee and use that knowledge in their recommendations;
- report on committee activities to the Senior Vice President for Academic Affairs and Vice President for Health Sciences as appropriate.

2.17 Faculty Senate

The Faculty Senate is composed of duly elected representatives of the faculty from each of the university's colleges and schools and is the primary vehicle for eliciting and expressing the opinions, suggestions, and recommendations of the faculty on issues and concerns. Within the framework of shared governance, the Faculty Senate and its Executive Committee communicate regularly with the President and other administrative officers of the university. The Faculty Senate Constitution may be accessed at: <http://www.southalabama.edu/fsenate/pdf/constitution.pdf>

3.0 FACULTY PERSONNEL POLICIES

3.1 Introduction

The University of South Alabama subscribes to the Statements of the American Association of University Professors, as noted throughout the *Faculty Handbook* and as listed below:

1940 Statement of Principles on Academic Freedom and Tenure with 1970
Interpretative Comments
Standards of Notice of Non-Reappointment
1958 Statement of Procedural Standards for Faculty
Dismissal Proceedings
Statement of Government of Colleges and Universities
The Role of Faculty in Budgetary and Salary Matters
Faculty Participation in the Selection, Evaluations, and Retention of
Administrators
The Faculty Role in the Reform of Intercollegiate Athletics: Principles and
Recommended Practices

Where differences occur, University policy supersedes.

Special Considerations

University policy and accreditation require that:

- each faculty member be proficient in spoken and written English. The Chairperson and Dean must provide certification of proficiency prior to the appointment;
- each full- or part-time faculty member hold AT LEAST a master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (minimum of 18 graduate semester hours in the teaching discipline, or justify, in exceptional cases, outstanding professional experience.

All faculty search committees are asked to ensure compliance with these minimum requirements during the applicant screening process BEFORE interviews are requested. Official transcripts must be a part of the completed file which is forwarded to the President when the candidate is recommended for appointment. Requiring them early saves time in the final appointing process and enables the committee to ensure compliance with minimum requirements. Also, spoken and written English proficiency should be critically evaluated through written evaluation materials and through telephone interviews of those applicants making the short list. No full-time or part-time faculty will be appointed who do not meet these criteria.

3.2 Definition of Academic Ranks

3.2.1 Instructor and Senior Instructor

The ranks of Instructor and Senior Instructor are open to persons who have not met the degree, graduate study, and/or experience requirements for appointment or promotion to a professorial rank. See Section 3.14.2, 3.14.3, and 3.14.4 of this Handbook for further detail.

3.2.2 Assistant Professor

The rank of Assistant Professor is open only to a faculty member considered terminally qualified in his/her field.

3.2.3 Associate Professor

The rank of Associate Professor is open only to one holding an earned doctoral degree or other terminal degree in the field in which he/she is teaching, or to one whose credentials have been accepted by the University as equivalent to terminal qualifications. In exceptional cases, an associate professorship may be granted for clearly distinguished achievement to one who has not met the prescribed degree requirements.

3.2.4 Professor

The rank of Professor is open only to one holding an earned doctoral degree or other terminal degree in the field in which he/she is teaching, or in a closely related field. In exceptional cases, a full professorship may be granted for clearly distinguished achievements to one who has not met the prescribed degree requirements.

3.2.5 Lecturer

The titles “Professorial Lecturer” and “Lecturer” may be used for appointments at any salary and experience level. Service in either capacity does not qualify a person for tenure.

3.3 Adjunct, Joint Appointments, Distinguished, Emeritus, and Visiting Faculty

3.3.1 Adjunct Faculty

Appointing authority is the Board of Trustees through the President. Origination of recommendation is from the department to the Dean to the Senior Vice President for Academic Affairs. Adjunct status in any rank may be awarded to part-time faculty as well as to those designees who are not paid by the University and who have a primary affiliation with some other institution or in some other profession. Reimbursement, benefits, and duration of appointment are specified by letter of appointment.

3.3.2 Joint Appointments

An individual faculty member may be appointed to two or more academic units within the University. The terms and conditions of such appointments are normally specified at the time of original appointment in the letter(s) of appointment signed by the President. However, a joint appointment may be arranged with mutual consent subsequent to the original appointment and confirmed by new letter(s) of joint appointment. Such faculty may be awarded all rights and privileges of full-time faculty in each academic unit. Definition of teaching, research, service expectations, rights and privileges of the individual are specified in the letter(s) of appointment.

Responsibility for evaluation and consideration of salary, promotion, and tenure, also, are specified in the letter(s) of appointment. Usually, because of the weight of the duties and salary responsibilities, one academic unit is designated the primary department of appointment for the individual faculty member, and the other department(s) as the secondary department(s).

3.3.3 Distinguished Professor

Appointing authority is the Board of Trustees through the President of the University. Candidates for this appointment will be nominated and recommended by the dean of the college to the Senior Vice President for Academic Affairs/Vice President for Health Sciences for recommendation to the President. Reimbursement is as specified by letter of appointment. The status of Distinguished Professor as described in this section will be an honorary designation, not to be equated with the academic rank of Distinguished Professor in the Mitchell College of Business. The basic criteria for eligibility shall be a sustained scholarly productivity over a period of at least five years immediately preceding this appointment and that this productivity represents the output of original scholarship in the field of the eligible person. The status of Distinguished Professor shall be open only to those having attained the rank of full professor. The administration shall give special recognition to this honor with suitable documents and ceremonies, but no pecuniary consideration shall be given. Duration of appointment shall be for a specific year of appointment, renewed as desired by the University.

3.3.4 Emeritus Professor

Introduction

The institution may confer, at its discretion, the title of “emeritus” on any retired faculty member who, at the time of retirement, had ten or more years of honorable and distinguished service to the University of South Alabama.

Eligibility

All full-time faculty at all ranks and titles and all academic administrators holding faculty rank at the University are eligible for consideration for emeritus faculty status. The faculty member must have retired officially from the University of South Alabama and have ten or more years of service at the university. Faculty entering into retirement as the result of a disability may be exempt from the ten year requirement. Faculty may also be considered by exception posthumously.

Criteria

Eligible faculty members are recognized for emeritus status for honorable and distinguished service to the university. It is expected that this would be evident in significant contributions in one or more of the following areas: teaching, research, service, scholarship, or administration.

Procedures

- At the time of retirement the eligible faculty member will be considered for emeritus status by the faculty member's department chair. With a favorable vote from departmental faculty members, the chair will forward a recommendation letter to their dean. The nomination letter must address one or more of the stated criteria. Additionally, current curriculum vitae must accompany the nomination letter. Faculty not considered at the time of retirement due to differences in historic policies, may also be recommended.
- The dean will review the candidate's materials / recommendations and will submit a recommendation along with the candidate's materials / recommendations to the Senior Vice President for Academic Affairs / Vice President of Health Sciences.
- The Senior Vice President for Academic Affairs / Vice President for Health Sciences will review all materials / recommendations and forward a recommendation along with the nomination materials / recommendations to the President.
- The President will review all materials / recommendations and forward a recommendation to the Board of Trustees. All recommendations will be considered by the Board of Trustees only once each year, during the September meeting.
- Upon approval of the Board of Trustees, the President will send a letter to the candidate notifying her/him of the emeritus appointment.

The duration of the emeritus appointment is for life unless terminated earlier by the Board of Trustees.

Benefits / Privileges

Emeritus Status is an honor that includes the following privileges to the extent available:

- Name included in listing of Emeritus Faculty;

- Certificate with name and emeritus status;
- Library privileges including opportunity to use electronic databases within library;
- Invitations to various university events;
- May serve by invitation on various university related committees;
- May be invited to serve as guest lecturer or in other volunteer service;
- University email account available;
- May be a member of recreation center;
- May use Faculty Club;
- May attend university cultural events.

3.3.5 Visiting Faculty Status

Appointments of Visiting Faculty are made by the President upon the recommendations of the appropriate department chair, dean and vice president. A current curriculum vitae, biographical data information form, and background check are required for all Visiting Faculty appointments. In addition, appointments of International faculty are contingent upon required verification of eligibility status pursuant to the Department of Homeland Security/U.S. Citizenship and Immigration Service. Further, for Visiting Faculty within the Division of Health Sciences who will have contact with patients, appointments require proof of malpractice insurance coverage, completion of HIPAA training and other credentialing as necessary. For those involved in research, additional training will be required to meet applicable compliance standards relative to the specific research project.

3.4 Librarian Faculty Rank

3.4.1 Professional Librarians

Professional librarians at the University of South Alabama shall have faculty status equivalent in all respects, including eligibility for tenure, to that status enjoyed by those in the departments of instruction, but professional librarians shall not hold professorial rank *per se*. Although faculty status for professional librarians carries all the rights and privileges of the instructional faculty, three aspects of faculty status must not be misunderstood. First, although the ranks of professional librarians and their suggested instructional counterparts may be established, the rank structure of professional librarians and the rank structure for members of the faculty whose primary function is instruction and research shall be denominated differently (see below). Second, although carrying different designations, no differences are intended, nor shall any be made. Third, the ranks of professional librarians differ from those of the instructional staff because of the basic differences in function. Consequently, the criteria for promotion are different (see next page).

The library ranks and their instructional counterparts are as follows:

<u>Library Rank</u>	<u>Counterpart Rank</u>
Instructor Librarian	Instructor
Senior Instructor Librarian (non-tenure only)	Senior Instructor (non-tenure only)
Assistant Librarian	Assistant Professor
Associate Librarian	Associate Professor
Senior Librarian	Professor

Rank at the time of appointment will be determined by educational credentials and professional experience. Only those with terminal degrees are eligible for Assistant, Associate and Senior Librarian rank. In accordance with the policy of the Association of College and Research Libraries, the Master's Degree in Library Science from an institution accredited by the American Library Association is considered the appropriate terminal degree for librarians employed in the academic setting. Tenure determinations will be made for professional librarians in accordance with the policies in effect for the instructional ranks on an equivalent basis. Promotion in rank will occur on the basis of performance and merit as determined by the stated criteria for promotion, both general and specific, included below.

3.4.2 Instructor Librarian and Senior Instructor Librarian

These ranks constitute the beginning level of professional librarianship and performance of professional duties. A supervisor for adequacy and compliance with instructions reviews professional work performed. Some professional functions are performed independently but within a limited scope. Administrative responsibility is not required at this level.

Minimum Qualifications: A minimum of a master's degree appropriate to the position is required. The ranks of Instructor Librarian and Senior Instructor Librarian are open to persons who have not met the requirements for appointment or promotion to the Assistant Librarian, Associate Librarian, or Senior Librarian ranks. Persons holding the rank of Instructor Librarian may be promoted to Senior Instructor Librarian only after a minimum probationary period specified in section 3.14.2, and are subject to the same requirements for promotion outlined in 3.14.3, and 3.14.4.

3.4.3 Assistant Librarian

This rank includes all positions that involve application of professional knowledge, responsibility for performance of others, and independent professional judgment. Persons in this position assist in policy-making decisions and perform independently; a supervisor is available for consultation when necessary. Assistant Librarian is the minimum rank for department heads.

Minimum Qualifications: A Master's Degree in Library Science from an ALA-accredited program or an equivalent terminal degree. Persons holding this rank perform professional

duties with considerable autonomy and serve their profession, the University, and the community.

3.4.4 Associate Librarian

This rank independently performs complex professional duties and supervises the activities of others. It also requires considerable subject expertise or depth in areas of librarianship or related areas with evidence of strong research potential. The person in this rank participates actively in professional contributions to the Libraries and the institution, as well as attainment of a high level of bibliographic activities in research or in other professional endeavors.

Minimum Qualifications: A Master's Degree in Library Science from an ALA-accredited program or an equivalent terminal degree, at least seven years of professional library experience or six years of USA service at the rank of Assistant Librarian, and appropriate administrative and supervisory experience. An additional graduate degree lends evidence of subject knowledge, although other evidence may be acceptable.

3.4.5 Senior Librarian

This rank includes the highest levels of professional responsibility. It has responsibility for staffing and assigning duties, for recommending establishment of or changes in policy; and for establishing procedures within the parameters of library regulations.

Minimum Qualifications: A Master's Degree in Library Science from an ALA-accredited program or an equivalent terminal degree; at least twelve years of professional library experience or three years of USA experience at the Associate Librarian rank; demonstrated administrative and supervisory ability; and a subject specialization where appropriate, evidenced by a graduate degree in the subject field or the equivalent in training or experience. Promotion to this rank requires outstanding achievements in bibliographical activities, in research, or in other professional endeavors.

3.5 Appointments – Special Cases

3.5.1 College of Education Clinical Appointments

Clinical appointments for faculty in the College of Education will be designated by the title Clinical Supervisor. Appointments are made official with the terms specified in writing. Clinical appointments may be made when faculty members are primarily engaged in teaching and/or supervision of clinical or field-based experiences and are not involved in research as a major component of their time.

1. Clinical appointments are made under two circumstances:
 - Individuals who volunteer their services or are employed part-time in clinical, field-based, practicum, or internship teaching and/or supervision. Volunteer or part-time clinical faculty will carry the title of Adjunct Clinical Supervisor.
 - Individuals who are salaried full-time faculty of the University and who meet the eligibility requirements will carry the title of Clinical Supervisor and hold the rank of Instructor. In such cases, clinical supervisors will be afforded all of the privileges awarded to faculty in probationary services in tenure-track appointments.
2. Clinical appointments are non-tenure track and are made on an annual basis. Notification of non-reappointment for salaried Clinical Supervisors will be identical to the notification procedures specified for tenure-track faculty unless otherwise specified in writing in the letter of appointment.

Procedures relative to appointment, non-reappointment, and dismissal of clinical appointments are as follows:

- Recommendation by the departmental chair to the dean of the college.
 - Upon concurrence by the dean, recommendation to the Senior Vice President for Academic Affairs.
 - Upon concurrence by the Senior Vice President for Academic Affairs, recommendation to the President of the University.
 - Dismissal entails special procedures that comply with AAUP standards. Dismissal is defined as termination of employment prior to expiration of the term appointment.
 - Performance evaluations and other matters relating to consideration for reappointment and salary increases will be based on individual performance relative to the responsibilities as a clinical appointee.
3. Procedures for promotion in clinical appointments from the rank of Instructor (Clinical Supervisor) to the rank of Senior Instructor are identical to those outlined in Section 3.10.3 and will carry the title Senior Clinical Supervisor.

3.5.2 Health Sciences Division: Pat Capps Covey College of Allied Health Professions and College of Nursing

Faculty in the Health Sciences Division holding terminal degrees in their discipline may be appointed to tenure track, non-tenure track, or convertible track appointments at the time of their employment in the university. Faculty not holding terminal degrees in their discipline will be appointed at the Instructor level as specified in Section 3.14. Designation of Faculty Appointments shall be specified at the time of employment in the offer of employment letter from the President.

Tenure Track appointments: Faculty appointed to Tenure Track appointments will be subject to the same promotion and tenure policies as specified in Sections 3.10, 3.11, and 3.12 of this Handbook.

Non-Tenure Track appointments: Non-tenure track appointments are typically made for positions with specific work load assignments that are primarily devoted to clinical, teaching, research or administrative functions and not of sufficient breadth to facilitate required activities/progress in a tenure track position. Non-tenure track appointments are also made for positions supported by extramural funding. See Section 3.14.

Convertible Track Positions: In rare circumstances an academic department or other academic program unit seeking to fill a particular position may designate at the time of employment that the position is potentially convertible to a tenure track appointment (convertible appointment). Convertible appointments permit conversion of the appointment to tenure-track at any time prior to but no later than the expiration of the first three-year term, depending on funding availability and faculty performance. The faculty must request to be converted to a tenure track position and the request must have the recommendation of the Chair of the faculty member's department and approval of the Dean of the College. Convertible appointments must follow the search process as defined for tenure-track appointments. Convertible track appointments not converted within the three year period, as defined above, automatically revert to Non-Tenure Track appointments. Appointments converted to a tenure track position shall follow the conditions for tenure and prior credit towards tenure per Sections 3.11 and 3.12 of the Faculty Handbook.

3.6 Administrative Officers: Academic Rank and Reversion

3.6.1 Appointment of Administrative Officers to the Ranked Faculty

Administrative officers may hold rank in an academic department.

3.6.2 Reversion of Administrators to Faculty Status

Given below are two academic reversion policies: The 1989 Policy applies to administrators who were appointed to their administrative position on or after 1989. Administrators appointed prior to June 1989 will revert to faculty status in accordance with the reversion policy effective prior to February 1980.

June 1989 Academic Administrator Reversion Policy:

The following reversion policy applies to full-time administrators who hold faculty rank and tenure. The policy applies to both administrators who choose to revert to faculty status and to administrators who are removed from administrative positions for administrative reasons. Administrators who are removed from a position for cause are not automatically

entitled to the following privileges. Reversion to faculty status does not apply to departmental chairs.

1. Salary Conditions

Nine-Month Salary - An administrator's salary consists of a base portion, a summer portion, and a stipend. The base salary is comparable to the nine-month salary for faculty in a particular rank and department. The summer portion is 33% of the base. The stipend is an amount necessary to make the salary appropriate to the position. Annual raises are proportionately applied to all three portions of the total salary.

Upon reversion, an administrator becomes a faculty member and the base portion of the salary becomes the nine-month salary paid in twelve equal installments. The stipend stays with the position.

Summer Salary - An administrator who has held a full-time administrative appointment for five years and who reverts to a nine-month position is entitled to one summer's assignment at full pay (25% of base salary) the summer immediately following reversion. An administrator who has held a full-time administrative appointment for ten years is entitled to two consecutive summer assignments at full pay.

Twelve-Month Salary - An administrator's salary in a department/college with twelve-month faculty appointments will receive a salary of the base portion and a stipend. The base salary is comparable to the twelve-month salary for faculty in a particular rank and department. The stipend is an amount necessary to make the salary appropriate to the position. Annual raises are proportionately applied to both portions.

Upon reversion an administrator becomes a faculty member and the base salary portion becomes a twelve-month salary paid in twelve equal installments and the stipend stays with the position.

2. Study Leave

An administrator who has held a full-time administrative appointment for five years is entitled to the equivalent of one semester of academic leave with full pay to prepare for return to full-time classroom and scholarly activity.

An administrator who has held a full-time administrative appointment for ten years is entitled to the equivalent of two consecutive semesters of academic leave with full pay. Study leave would normally be taken during the year after reversion.

3. Vacation and Sick Leave

Vacation not taken at the time of, or before the time of, reversion is lost.

February 1980 Academic Administrator Reversion Policy:

1. The following policy is applicable (or will apply) only to administrators who hold administrative posts on a fiscal-year basis and who hold tenured appointments at faculty rank in an academic department.
2. Reversion to faculty status is possible only for those holding tenured faculty appointments. Reversion to faculty status does not apply to departmental chairs.
3. The individual's twelve-month administrative salary will be converted to a nine-month faculty salary by multiplying the former by 0.818 (9/11). (This provision does not apply to those academic units whose faculty are on twelve-month appointments.)
4. For those who have served as an administrator for at least five years, but fewer than ten, no assignment will be made in the semester immediately subsequent to reversion. Rather, this semester is to be used for the study and research necessary to prepare adequately for return to the classroom. For those who have so served for ten or more years, two semesters without assignment will be provided. Full compensation at the new faculty salary will be provided. Full compensation at the new faculty salary will be paid in semester(s) in which those services of study and research preparation are made.
5. Those serving as an administrator for five years or more will be given a teaching or research assignment for two Summer Semesters following reversion. In the event reversion occurs at the end of a Spring Semester, the first of these two summers will be devoted to the study cited in Item 1 above.

3.7 English Language Proficiency Requirement for Teaching Personnel

1. The Chairperson and Dean must certify in writing to the Senior Vice President for Academic Affairs/Vice President for Health Sciences that each individual appointed to a teaching position at the University of South Alabama can communicate effectively with students in the English Language. This policy took effect on November 15, 2002.
2. The Department of English as a Second Language, as appropriate, will provide assistance in improving the spoken English competency of currently employed teaching personnel (teaching faculty employed prior to November 15, 2002) who are identified as needing such assistance.

3.8 Faculty Appointments

3.8.1 Full-Time Faculty Contract Period

The academic year (9-months) is from August 15 through May 15. Faculty receive academic year contracts (normally issued in May each year) after the initial appointment year until tenure is acquired. Tenured faculty receive notification each year of any salary increase.

Faculty in the Division of Health Sciences and in the University Libraries are typically on 12-month contracts instead of academic year contracts.

Annual salaries and salary rates for full-time faculty, as well as administrators (with or without faculty status) are dependent upon the financial condition of the University and may be adjusted accordingly at any time. Prior to implementing adjustments deemed necessary due to the financial condition of the University, the President will consult with appropriate administrators and the Faculty Senate leadership.

3.8.2 Part-Time Faculty Policy and Procedures

The University recognizes that part-time faculty are an essential component of the University's instructional workforce. Part-time faculty bring to the classroom and laboratories professional experience, disciplinary expertise, and provide an important enrichment to student learning. The University also recognizes its responsibility to maintain an appropriate balance of part-time and full-time faculty and will carry out this responsibility in a manner that does not jeopardize academic standards as determined by individual departments. Given below are policy and procedures regarding part-time faculty.

1. Appointment Procedures

Part-time faculty are temporary employees who are appointed "as needed" on a semester-by-semester basis. Appointment procedures are as follows:

Search Process: National searches are not conducted for part-time faculty. Although search committees are not normally used for part-time faculty, the chair will appropriately consult with departmental faculty in their selection and appointment. Advertisements in local newspapers will be done only when deemed necessary by the dean and the chair. In those cases where local advertisement is necessary the *Mobile Register* will be used.

Documentation of Credentials: Required documentation for a part-time faculty appointment is identical to that of a full-time faculty appointment as given below:

- Official transcripts (cannot be "issued to student")
- Curriculum vita

- Biographical Data form
- USA Faculty Consent form
- Three signed original professional letters of recommendation
- A letter of recommendation from the department chair with the approval signature of the dean
- Completed Part-Time Faculty Appointment Form

All of the above information is forwarded to the Senior Vice President for Academic Affairs/Vice President for Health Sciences. Upon approval for addition to the Part-Time Faculty Roster, a copy of the approved part-time faculty appointment form is kept in Academic Affairs/Health Sciences and the complete file is returned to the College/School Dean.

Part-time faculty will not be able to teach until a completed, approved part-time file has been returned to the college/school.

Part-Time Faculty Roster: A roster of approved part-time faculty is maintained in the offices of the Senior Vice President for Academic Affairs/Vice President for Health sciences and the College/School Dean. Once approved for addition to the Part-Time Faculty Roster, the individual is eligible to teach on an “as needed” semester-by-semester basis. The department chair is responsible for initiating a written notice to the dean and the Senior Vice President for Academic Affairs/Vice President for Health Sciences to withdraw an individual from the Part-Time Roster.

Appointment Letter (Contract): A contract letter using the approved standard form will be issued to all part-time faculty appointees for each semester employed.

Time Frame: The dean’s office will call for recommendations from the department. The letter will be issued by the dean at least two weeks prior to the end of the semester immediately preceding the semester in which the individual will teach. Exceptions to the time-line will be made only in critical situations when the file is complete and the individual has been duly interviewed, recommended and approved at all levels.

A teaching assignment may not be made in the absence of a written contract.

Official files for part-time faculty are maintained in the dean’s office.

2. Academic Credentials

Part-time faculty members teaching credit courses leading toward the baccalaureate degree must have completed at least 18 graduate semester hours in the teaching discipline and hold at least a master’s degree, or hold the minimum of a master’s degree with a major in the teaching discipline. In exceptional cases, outstanding professional experience and demonstrated contributions to the teaching discipline

may be presented in lieu of formal academic preparation. Such cases must be justified by the department on an individual basis using the standard "Exception for Faculty Academic and Professional Preparation" form.

Part-time faculty 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. In some instances, the master's degree in the discipline may be considered the terminal degree, such as the M.F.A., the M.S.W., and the M.L.S.; in others, a master's degree in the discipline coupled with a doctoral degree in a related discipline is considered appropriate. It is the responsibility of the department to justify the master's degree, or master's in the teaching discipline coupled with a related doctorate, as the terminal degree for faculty members teaching in those disciplines. All faculty members teaching courses at the doctoral degree level must hold the earned doctorate in the teaching discipline or a related discipline.

The University recognizes that in unusual cases it may be appropriate to include those graduate faculty members who have demonstrated exceptional scholarly or creative activity, or professional experience, but who may not possess the required academic credentials. There also may be an occasion when a new graduate discipline is in its formative stage in higher education, and there are no faculty members available with academic credentials in the discipline. In either case, when a department presents evidence of competence or academic credentials other than the doctorate in the discipline for its graduate faculty, the department must justify the employment of such faculty.

3. Tenure Eligibility

Part-time faculty are **not** eligible for tenure and thus are non-tenure accruing.

4. Scheduling and Staffing

Scheduling and staffing of all classes is tentative until registration is complete; therefore, course assignments and employment of part-time faculty may change with little notice. Part-time faculty will be notified of such changes as soon as possible.

5. Pay Rates

Pay rates for part-time faculty will be reviewed periodically by the Senior Vice President for Academic Affairs/Vice President for Health Sciences and their respective Councils of Deans to determine if remuneration should and can be adjusted. Pay rates for part-time faculty are dependent upon the financial condition of the University and may be adjusted accordingly at any time.

6. Pay Dates

Fall Semester – First normal working day in October, November, December, and January.

Spring Semester – First normal working day in February, March, April and May.

Summer Semester – First normal working day in July, August and September.

7. Duties

In general, the duties of part-time faculty are limited to teaching and should not include research or service.

8. Participation in Departmental Faculty Meetings

Although regular attendance at Departmental, College, or University faculty meetings is not required, part-time faculty should be encouraged to attend those meetings directly dealing with their teaching responsibilities. Supervisors will keep part-time faculty informed about meetings relevant to part-time faculty or about the information disseminated at such meetings.

9. Teaching Load

Part-time faculty should teach no more than 6 credit hours per semester for fall and spring terms, and no more than 4 credit hours in summer, except in unusual cases in which special permission is given by the appropriate dean, and approved in advance by the Senior Vice President for Academic Affairs/Vice President for Health Sciences.

10. Orientation and Teacher Development

Orientation refers to providing information on mission statements, policies, logistics, facilities, and pedagogical advice that assist faculty in performing their duties and becoming integrated into the University community. *Teacher development* refers to initiatives by the University to promote effective teaching and to promote their professional development as educators.

- Part-time faculty will be encouraged to participate in University-sponsored teacher development and orientation activities (e.g., “Orientation for New Faculty Program”, workshops, and meetings).
- In addition to institutional-level orientation opportunities for part-time faculty, each department will also provide orientation for its new part-time faculty. Such orientation can be in the form of, e.g., printed material, oral communication, or audiovisual technology. Orientation also can be one-on-one or in groups. Each department chair will provide new part-time faculty with the institution’s *New Faculty Orientation Handbook*, which can be supplemented

with information specific to the department. Departmental orientation should especially focus on matters that apply to the department and to the part-time instructor's particular role.

- Department chairs are encouraged to appoint a faculty mentor to each new part-time teacher for at least the first semester of employment at the University.
- Although not prohibited by policy, the University usually does not fund individual requests for professional development of part-time faculty (e.g., funding for presentations at conferences).

11. Supervision and Evaluation

Supervision refers to a means by which the faculty member's teaching performance is monitored and by which individual guidance on meeting teaching responsibilities is received. *Evaluation* refers to a means by which teaching performance is formally assessed.

- Part-time faculty will be supervised and evaluated by the Dean, department chair or his/her designee on an annual basis.
- In every course taught by a part-time faculty member, the department chair or his/her designee will observe the class at least one time during the first semester that the part-time faculty member is teaching. In the course of such observations, the supervisor may have read-only access to any and all instructional materials. The resulting evaluation of teaching effectiveness will be documented and provided to the faculty member and maintained in departmental files. When deemed appropriate and constructive, the department chair may arrange subsequent visits to the part-time faculty member's class in later terms.
- Each semester, the department chair or designee will review and approve the syllabus, schedule of lectures or topical outline, objectives, and textbook(s) for all courses taught by part-time instructors, and will discuss with the part-time instructor the department's expectations for the course as well as the part-time instructor's teaching plan for the course.
- Part-time faculty will be evaluated in accordance with the same policy and procedures as those employed for the evaluation of teaching for full-time faculty. However, part-time instructors will be evaluated by students in every course. Part-time faculty should be informed of the procedures for the evaluation of teaching during their orientation.

- Each department will demonstrate that it uses the results of student and other evaluations of the courses in decisions regarding rehiring part-time instructors and in improvement of teaching and student learning.

12. Student Access

Student access refers to the means by which students can communicate with their instructors in a regular, effective, and timely fashion.

- On the first day of classes of the semester, part-time instructors will provide students with information indicating how and when students can access them for out-of-class assistance.
- To facilitate student access, the department will, to the extent possible, provide part-time teachers with reasonable access to appropriate support services (e.g., office space, office telephone, faculty parking, mailbox, mail services, email account, and essential secretarial support for performing teaching duties).

3.8.3 Part-time Teaching by Staff

Although full-time exempt staff are expected to devote their professional time to fulfilling the responsibilities of their staff positions, from time to time, exempt staff with relevant academic qualifications and experience may be invited to teach one course for an academic department.

Full-time staff who teach must:

1. meet all requirements for appointment to the part-time faculty in the teaching discipline and must be interviewed and approved through normal channels; there must be an official, completed file documenting the individual's eligibility for the part-time roster in the teaching discipline;
2. teach no more than one course per semester;
3. have approval of his/her immediate supervisor and approval of the chairperson and dean of the college/school in which the course will be taught; approval must be documented and bear their signatures;
4. devote a minimum of 40 hours per week to their regular full-time positions while teaching.

Supervisor:

The supervisor will provide a plan (attached to the approval form) indicating how the individual's full-time job responsibilities will be met. At the end of the course, the supervisor must provide explicit documentation that the staff employee devoted a minimum of 40 hours per week to his/her full-time position.

Chairperson and Dean:

The chairperson of the department (with the dean's approval) in which the course will be taught must complete the request no later than the sixth week of the semester prior to the semester in which the course will be taught.

Compensation:

Compensation is per the standard part-time instruction rate for the course.

3.9 Summer School Teaching Assignments

It is University policy that no academic year (9-month) faculty is guaranteed summer school teaching. The following is designed to serve as a guideline for the selection of summer school faculty.

No faculty member will receive a summer school assignment for more than two consecutive summers, unless it is in the best interest of the University to do so. For example, circumstances may necessitate that a person teach more than two consecutive summer school sessions, or a person may possess a particular expertise and be the only faculty member available for teaching. However, in all instances, summer school assignments will be made in the best interest of the University. Therefore, the dean of each college or school, along with the respective department chair, will make the determination about summer school assignments. Moreover, each department, within the policy framework, will develop and refine a policy for the selection of faculty for the summer sessions. Such policy must be approved by the dean of the college or school.

3.10 Promotion Policies and Procedures

3.10.1 Introduction and General Criteria

The overall quality of the University and its programs depends on the quality of the faculty. The faculty's achievements in scholarship, research, honors, professional reputation, and teaching excellence are all measures of faculty strength, although different types of institutions may value these measures differently. For universities, however, the level of scholarship attained by the faculty is the most meaningful criterion, judged in the light of national standards. Because promotion in rank is recognition of the achievements by which the University is measured, promotion decisions have serious long-term implications for the quality of the faculty, and, therefore, of the University.

All promotion decisions will be based solely on demonstrated professional merit, the quality of contributions to the University, and the competent and regular performance of duties, including one's ability to participate harmoniously in a healthy learning environment. In making promotion decisions, the general policy of the University shall be to use faculty

consultation with appropriate approval and recommendation by the department chair, academic deans/directors, vice presidents, with a final decision to be made by the President and the Board of Trustees.

Promotion in academic rank constitutes recognition of an individual's professionalism and professional achievement. The pertinent attributes of professionalism are identified in the "AAUP Statement on Professional Ethics" (see section 4.5). The degree of professional achievement is evaluated in three broad areas: teaching effectiveness, professional development, and professional service to the department, the college, the University, and where appropriate, the community. While not exhaustive, the following descriptions provide broad definitions of the three areas.

The area of teaching effectiveness includes classroom and laboratory performance, academic advising and counseling, availability to students, supervision of students' independent research or study, course and curriculum development, and guest lectures to classes.

The area of professional development includes scholarship in all its manifestations-service on editorial and advisory boards, offices held in professional organizations, participation in professional institutes and workshops, research, publications, exhibitions, performances, professional awards, grants and fellowships, presentations to professional organizations, and lecture appointments.

The area of university-related service includes committee and administrative work at any level of the University, assisting in student activities and university-related community, and clinical services rendered in a professional capacity.

Participation in university management by persons who, also, are faculty members -- either through holding administrative positions at the University or through committee work of a purely administrative nature -- may not be the sole basis for promotion in academic rank. Promotions are always based on merit and achievement, rather than upon length of service only. Promotions will not be denied solely on the basis of budgetary limitations; as a practical matter, however, budgetary limitations may not always permit an immediate salary increase commensurate with the new rank at the time the promotion is granted.

As a matter of policy, the University has no quota system as to the number or percentage of persons who can hold any particular rank.

Candidates recommended for promotion must meet the following minimum qualifications as well as the highest standards of the discipline according to the general criteria found above. Additionally, candidates must display evidence of substantial professional development or achievement since attaining their present rank.

Full-time academic service is defined as full-time employment as a faculty member for the entire academic year. An "academic year" is nine months (August-May) normally covering

Fall and Spring semesters. For faculty appointed on a twelve-month basis, an “academic year” is twelve months covering Fall, Spring, and Summer terms.

3.10.2 Criteria by Rank

1. Senior Instructor

The rank of senior instructor is open to faculty holding a minimum of a Master’s Degree appropriate to the field in which they are teaching. Their primary duties include teaching in their field, academic advising, active involvement in departmental and university governance, professional development and public service, or equivalent academic activity. Senior instructor is a non-tenure track rank.

The requirements for promotion from instructor to senior instructor are given in Section 3.14.2.

2. Assistant Professor

The rank of assistant professor is open only to faculty members considered terminally qualified in their field, or to one whose credentials have been accepted by the University as equivalent to terminal qualifications. In exceptional cases, an assistant professorship may be granted for clearly distinguished achievement to one who has not met the prescribed degree requirements. The following requirements must be met for promotion from instructor to assistant professor:

- The candidate must have the appropriate terminal degree.
- The candidate must display evidence of effective teaching and advising and of scholarly or creative activity, or equivalent academic activity.

3. Associate Professor

The rank of associate professor is open only to those holding an earned doctor’s degree or other terminal degree in the field in which they are teaching, or to one whose credentials have been accepted by the University as equivalent to terminal qualifications. In exceptional cases, an associate professorship may be granted for clearly distinguished achievement to one who has not met the prescribed degree requirements. The following requirements must be met for promotion from assistant professor to associate professor:

- The candidate must have at least six year’s full-time professorial experience as an assistant professor. The time-in-rank requirements refer to service only at the University of South Alabama. For prior teaching or other professorial experience to count toward promotion eligibility, the individual’s initial letter of appointment must so specify and indicate the extent to which it will be counted.

Lacking this specification, no prior experience can be used to establish eligibility to be considered for promotion.

- The candidate must display evidence of professional development of sufficient quality to indicate the continuation of a significant scholarly or creative career.
- The candidate must display evidence of effective teaching and student advising.
- The candidate must have begun to show competent work in university-related services at one or more levels.

4. Professor

The rank of professor is open only to those holding an earned doctor's degree or other terminal degree in the field in which they are teaching, or in a closely related field. In exceptional cases, a full professorship may be granted for clearly distinguished achievement to one who has not met the prescribed degree requirements. The following requirements must be met for promotion from associate professor to professor:

- The candidate must have at least three years' full-time academic experience as an associate professor. Time-in-rank requirements refer to service only at the University of South Alabama. For prior teaching or other professorial experience to count toward promotion eligibility, the individual's initial letter of appointment must so specify and indicate the extent to which it will be counted. Lacking this specification, no prior experience can be used to establish eligibility to be considered for promotion.
- The candidate must display evidence of effective teaching and student advising.
- The candidate must display evidence of outstanding scholarly (or equivalent creative) work, including, for instance, one or more significant book-length works or number of substantial articles.
- The candidate must display evidence of significant and sustained university related service. Exceptions: While all criteria and formal requirements normally must be met for promotion to the ranks indicated, it is conceivable that, in rare instances, truly outstanding performance will carry sufficient weight to make exceptions appropriate. In such instances, a compelling case for promotion must be made, including specific, detailed information that will allow reviewing officials to make an informed evaluation of the recommendation. Such cases will constitute rare exceptions to the normal policy.

3.10.3 Promotion Procedures

Promotion recommendations will be submitted to the Senior Vice President for Academic Affairs/Vice President for Health Sciences each year, normally by March 1. (A list of eligible faculty is forwarded to the college dean by the Senior Vice President for Academic Affairs.) The recommendations originate at the departmental level and proceed upward through normal administrative channels. Final promotion decisions are made by the President, subject to approval by the Board of Trustees.

1. Departmental Procedures

The chair is responsible for the organization and conduct of the department's activities with regard to promotion. Candidates for promotion are nominated by the chair or may be self-nominated. The chair will insure that all candidates have an opportunity to submit relevant information and materials for appropriate review.

For purposes of dealing with the recommendations for promotion, the appropriate faculty consultative body consists of a committee composed of all those members of the department, except assistant professors, senior in rank to the candidate. Some academic units may find it difficult or impossible to constitute a committee, given the above exclusions. In that event, the chair appoints an appropriate committee, following the spirit of the review process. All involved faculty must have an opportunity to examine whatever supporting information and materials the candidate may have submitted in support of his/her candidacy. Faculty members who serve on both the departmental promotion committee and on the collegiate Promotion Evaluation and Review Committee, shall vote concerning the candidate at the departmental committee only, and must abstain from voting at the collegiate Promotion Evaluation and Review Committee.

Once these procedures have been completed, the chair shall submit a recommendation in writing, including justification for the recommended action, to the dean (or director) of the academic unit. Along with the recommendation, the chair will report to the dean the results of the faculty consultation.

2. Collegiate Procedures

The dean (or director) of each college, school, and division will appoint each year a Promotion Evaluation and Review Committee (PERC). Membership on this committee is limited to tenured associate and full professors. Normally, chairs of departments will not serve as members. (Some academic units may find it difficult or impossible to constitute such a committee and will follow the spirit of the review process in the constitution of the committee.) The committee's charge shall be to review the departmental promotion recommendations submitted to the dean's office and to evaluate the candidates so that it can make its own recommendations to the dean. The committee may establish the procedures it wishes to follow in carrying out its

charge, subject to the dean's approval. These procedures must include, however, adequate provision for the candidates to submit relevant information and materials in support of their candidacies and must be grounded in the promotion criteria stipulated above. The committee recommendations submitted to the dean should contain a rationale for the committee's action and a report of the committee's vote on each recommendation. The committee's recommendation shall be signed by all members present for each recommendation for promotion. Signing will indicate participation in the voting process and attest to the accuracy of the outcome of the vote tally, including abstentions. Proxy votes are not permitted. If an academic unit finds this committee procedure unworkable, it may substitute another consultative method, upon the approval of the Senior Vice President for Academic Affairs/Vice President for Health Sciences.

When the recommendations of the department chair, departmental committee, and college committee have been forwarded, the dean shall review the file and make a separate recommendation. The recommendations of the department chair, the departmental committee, the college committee (PERC) and the dean shall be forwarded to the Senior Vice President for Academic Affairs/Vice President for Health Sciences.

3. Vice Presidential Procedures

After receiving the college submissions, the Senior Vice President for Academic Affairs/Vice President for Health Sciences shall submit to the President his/her recommendations, along with those of the department chair, departmental committee, college/school committee, and the college/school dean.

4. Presidential Action

The President takes final action on the recommendations for promotion, subject to the approval of the Board of Trustees.

5. Notification

Once the President and the Board of Trustees have acted, letters of promotion are issued by the President. Upon the issuance of such letters, the Senior Vice President for Academic Affairs/Vice President for Health Sciences shall report to the appropriate dean the results of the Board action, which will be transmitted further to the chairs and faculty, and appropriate personnel action forms will be processed.

3.10.4 Promotion Following Completion of Terminal Degree

Faculty members who are appointed as instructors may be considered for promotion upon completion of the terminal degree if the following conditions are met:

- Receipt of official transcripts sent to the department chair directly from the awarding institution.
- Verification of degree by the Office of the Senior Vice President for Academic Affairs/Vice President for Health Sciences (Note: USA Faculty Consent Form <http://www.southalabama.edu/academicaffairs/forms/facultyconsentform.pdf> must be completed by the faculty member).
- Recommendation forwarded by the departmental chair through normal administrative channels for approval

Final promotion decisions are made by the President.

3.10.5 Promotion Increments for Faculty

A salary increase accompanies each promotion. The promotion increments are:

Instructor to Senior Instructor	\$4,000
Promotion to Full Professor	\$6,000
Promotion to Associate Professor	\$4,000

Due to a wide variation of circumstances under which a faculty member is promoted from Instructor to Assistant Professor, the promotional increment is based on a \$1,000.00 increase with the understanding that many circumstances make the increase negotiable.

3.11 Tenure

3.11.1 Academic Freedom and Tenure

Introduction

The University supports the AAUP 1940 Statement of Principles on Academic Freedom and Tenure, as printed below. If University policy differs with AAUP policy, the University policy supersedes and prevails.

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 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 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 with it duties correlative with rights.

Tenure is a means to certain ends, specifically: (1) freedom of teaching and research and of extramural activities; (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.

3.11.2 Academic Freedom

1. The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
2. The teacher is entitled to freedom in the classroom in discussing his/her subject, but he/she should be careful not to introduce into his/her teaching controversial matter which has no relation to his/her subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of appointment.
3. The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he/she speaks or writes as a citizen, he/she should be free from institutional censorship or discipline, but his/her special position in the community imposes special obligations. As a person of learning and an educational officer, he/she should remember that the public may judge his/her profession and his/her institution by his/her utterances. Hence, he/she should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she is not an institutional spokesperson.

3.11.3 Academic Tenure

After the expiration of a probationary period, faculty members 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 exigency.

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

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

2. For tenure-track appointments to full-time instructor or higher rank, the probationary period should not exceed six years. Faculty at the rank of Assistant Professor or above may be granted credit up to a maximum of three years toward tenure for prior full time service. If credit is granted toward tenure, the number of years of credit will be stated in the letter of appointment. Deadlines for notice of non-reappointment are specified in 3.15.2.
3. During the probationary period a faculty member should have the academic freedom that all other members of the faculty have.
4. Termination of continuous appointment, for cause, or the dismissal for cause of a faculty member, previous to the expiration of term appointment if possible should 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 faculty member should be informed before the hearing in writing of the charges against him/her and should have the opportunity to be heard in his/her own defense by all bodies that pass judgment upon the case. He/she should be permitted to have with him/her an advisor of his/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 faculty members, either from his/her own or from other institutions. Faculty members 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.
5. Termination of a continuous appointment because of financial exigency should be demonstrably *bona fide*.

3.11.4 Tenure Policy and Procedures

3.11.4.1 Introductory Statements

1. Pre-Tenure Review of Assistant Professors

In addition to the Annual Affirmative Action Plan Evaluation, tenure-track faculty members will be reviewed annually for progress toward tenure during their probationary period by the department chair. The annual pre-tenure reviews should address all aspects of the faculty member's performance relevant to tenure. As part of this annual review, the faculty member has the responsibility of providing timely and accurate documentation to ensure adequate consideration. The chair will meet with the faculty member to discuss the results of the review and will provide the faculty member with a written evaluation that addresses all aspects of the faculty member's performance relevant to tenure, including scholarship, teaching, service and collegiality. The college dean will review all annual reviews for compliance with University policy and procedures.

A mid-probationary review will be conducted at the department level or comparable academic unit for all untenured tenure-track faculty by no later than the completion of the third year of probationary service (or near the mid-point of the probationary term for those faculty members whose probationary term includes credit for prior service). The mid-probationary review, also, will function as the annual pre-tenure review for that year. The mid-probationary review should address all aspects of the faculty member's performance relevant to tenure. As part of this review, the faculty member has the responsibility of providing timely and accurate documentation to ensure adequate consideration. The departmental chair will conduct the mid-probationary review in consultation with the tenured faculty of the department or comparable unit. The chair will meet with the faculty member to discuss the results of the review and will provide the faculty member with a written summary that addresses all aspects of the faculty member's performance relevant to tenure, including scholarship, teaching, service and collegiality. The college dean will review the mid-probationary evaluation for compliance with University policy and procedures.

2. Tenure Policy

The following Tenure Policy applies to appointments made on or after September 1, 1987.

Tenure acquisition requires specific procedures and approvals. It is never automatic, regardless of the number of years of service. Tenure is granted only by the Board of Trustees.

If approved, tenure is granted to faculty members in the ranks designated below on August 15th following the completion of a period of probationary service as a full-time member of the faculty of the University of South Alabama. The tenure decision may not be delayed beyond the applicable probationary period indicated by rank.

When this tenure policy differs from the 1940 Statement of Principles on Tenure, this policy will supersede the 1940 Statement.

3.11.4.2 Requirements for Eligibility for Tenure

1. Rank Requirements

Tenure is granted only to faculty members holding the rank of Assistant Professor, Associate Professor, Professor, Assistant Librarian, Associate Librarian, or Senior Librarian.

2. Time of Service Requirements

The period of required full-time probationary service is defined in the table below:

RANK	YEARS OF FULL-TIME PROBATIONARY SERVICE BEFORE BEING ELIGIBLE FOR TENURE
Professor, Senior Librarian	2
Associate Professor, Associate Librarian	3
Assistant Professor, Assistant Librarian	6

A tenure track faculty member who has not achieved at least the rank of assistant professor or assistant librarian normally shall not serve on the faculty more than six years. Years of service as a faculty member on fractional appointment(s) cannot be accumulated to be counted toward tenure (see section **3.12**). Academic service must be full-time to be counted toward tenure. Full-time academic service is defined as full-time employment as a faculty member for the entire academic year. Academic service includes both administrative and academic activities while holding faculty rank. Time on leave from the University of South Alabama normally may not be counted toward the required probationary period.

Faculty at the rank of assistant professor, assistant librarian, or above may be granted credit up to a maximum of three years toward tenure for prior full-time academic service at the University of South Alabama or other institutions of higher education. If credit is granted toward tenure, the number of years of credit will be stated in the letter of appointment, and the same number of years of credit, also, must be granted toward promotion. In exceptional cases, at the time of appointment, tenure may be granted to persons who are tenured at another university at the rank of Professor. For appointments with tenure, reviews and recommendations shall occur prior to appointment at the departmental level, the collegiate level and the University level.

3.11.4.3 Tenure Procedures

The review process for awarding tenure is conducted during the faculty member's final year of probationary service. The process begins in the department and includes administrative and peer recommendations at both the departmental and the collegiate levels. Following are the procedures for each level of review including departmental, collegiate, dean, Senior Vice President/Vice President for Health Sciences, and President.

1. Departmental Procedures

The departmental tenure committee shall be notified by the department chair to consider a faculty member who is in the final year of probationary service. The departmental tenure committee is normally composed of all tenured faculty members

in the department except the chair. The committee shall have an opportunity to examine whatever supporting information and materials the candidate may have submitted in support of his/her candidacy. Faculty members who serve on both the departmental tenure committee, and on the collegiate tenure committee, shall vote concerning the candidate at the departmental tenure committee only, and must abstain from voting at the collegiate tenure committee.

External Review of Candidates for Tenure

An external review of the candidate's scholarship will be included in all tenure applications. Obtaining the reviews will be the responsibility of the department chair in accordance with the following procedures:

- The candidate, the chair of the Tenure Committee of the academic unit, and tenured faculty of the department each will have an opportunity to submit a list of names of external referees who are recognized scholars in the candidate's field of scholarship.
- The chair of the Tenure Committee of the academic unit will select name(s) from each of the three lists and will request that these individuals provide a written review of the candidate's scholarship. The candidate will be notified of the names of those selected to serve as referees. The external review will then be included in the candidate's tenure portfolio and will be a component of all levels of the tenure review process.

The departmental committee shall submit a written report to the department chair. The chair shall submit a written report to the dean along with the departmental committee's report and the faculty member's supporting documents.

2. Collegiate Procedures

Each year, the dean (or director) of each college, school, and division shall appoint a collegiate tenure committee of at least seven (7) members. Membership on this committee shall be limited to tenured associate and full professors. Normally, chairs of departments will not serve as members. (Given the above exclusions, some academic units may find it difficult or impossible to constitute such a committee. In that event, the dean will appoint an appropriate committee, following the spirit of the review process.)

The committee's charge shall be to review the departmental tenure recommendations submitted to the dean's office and to evaluate the faculty members who are eligible for tenure consideration so that it can make its own recommendations to the dean. Subject to the dean's approval, the committee may establish the procedures it wishes to follow in carrying out its charge. These procedures are to provide an adequate opportunity for faculty members who are in their final probationary year to submit

relevant information and materials in support of their candidacies. The committee's recommendation shall be signed by all members present for each recommendation for tenure. Signing will indicate participation in the voting process and attest to the accuracy of the outcome of the vote tally, including abstentions. Proxy votes are not permitted.

When the recommendations of the department chair, departmental committee, and collegiate committee have been forwarded to the dean, the dean shall review the file and make a separate recommendation. Recommendations of the department chair, the departmental committee, the collegiate committee, and the dean shall be forwarded to the Senior Vice President for Academic Affairs/Vice President for Health Sciences along with the supporting documentation.

3. Senior Vice Presidential/Vice Presidential Procedures

After receiving the collegiate recommendations and all related materials and information, the Senior Vice President for Academic Affairs/Vice President for Health Sciences shall proceed to formulate his/her recommendations, based on the supplied information, and submit those recommendations to the President along with the recommendations of the department chair, the departmental committee, the collegiate committee, and the dean of the college.

4. Presidential Action

The President takes final action on the recommendations for tenure, subject to the approval of the Board of Trustees.

5. Notification

When the President and the Board of Trustees have acted, letters of tenure are issued by the President's Office. Upon issuance of such letters, the Senior Vice President for Academic Affairs/Vice President for Health Sciences shall report to the appropriate deans the approval of tenure for further transmission to the chairs and faculty.

6. Non-Reappointment of Faculty Not Granted Tenure

When a decision not to grant tenure has been made, a letter shall be forwarded to the affected faculty member. This letter will be sent no later than August 15th of the year that the faculty member would have been eligible to receive tenure.

In cases of non-reappointment, the period of untenured service is extended beyond the probationary period based upon whether the faculty member's appointment is for nine months or 12 months. For nine-month faculty, the period ends May 15 of the following year; for 12-month faculty, the period ends August 15 of the following year.

No reasons, oral or written, need be given for non-reappointment of untenured faculty.

Faculty members given a letter of non-reappointment will receive no salary increases for the terminal year. Furthermore, once the letter of non-reappointment has been given, the annual affirmative action plan evaluation will not be required.

3.12 Leave of Absence During Tenure Probationary Period

Academic service must be full-time to be counted toward tenure. Full-time academic service is defined as employment as a faculty member for the entire academic year. Exception to the policy may be granted under the following conditions:

1. The faculty member must submit a request for leave during the probationary period to the department chair. This request must include a description of planned activities, and all materials that would be required for the mid-tenure review.
2. The faculty member must obtain written permission from the departmental Tenure Committee, the department chair, the dean of the college, and the Senior Vice President for Academic Affairs/Vice President for Health Sciences. If permission for a leave during the probationary period is granted, the permission does not imply or mean that the faculty member will receive tenure.

3.13 Post-Doctoral Trainees

A Post-Doctoral appointment is a temporary appointment made primarily for the purpose of allowing individuals to obtain additional education and training in research and clinical activities.

The USA Office of Postdoctoral Education is responsible for facilitating appointments, as well as maintaining and updating policies to ensure congruence with mandates from external agencies.

Postdoctoral training is intended to provide individuals who have recently received doctoral degrees (or the equivalent) with a temporary and defined period of mentored advanced training with University faculty (“Mentors”), to enhance their professional skills and research independence needed to pursue their chosen career path. A Postdoctoral Fellow position is a specific category, and while it is neither a University faculty position nor regular staff employee position, it shares many of the same benefits and policies, as described further herein. For classification and benefits purpose, Postdoctoral Fellows will be considered either “employees” or “trainees”. Trainees are those individuals who have received funding through external awards such as the NIH Postdoctoral Fellowships (e.g. F-32). Trainees, per federal requirements, may not be classified as employees and the

benefits will vary from those postdoctoral fellows classified as employees. See more at: <http://www.southalabama.edu/departments/postdoctoraleducation/>

3.14 Non-Tenure Track Positions

Introduction

Designation of an approved non-tenure track faculty position requires written justification by the dean and must be approved by the Senior Vice President for Academic Affairs/Vice President for Health Sciences. Non-tenure track faculty positions may be approved in any of the following instances:

- when the position satisfies a current need but may not be needed in the future
- when a program requires positions to satisfy a current need but the program may not be needed in the future
- when the position is funded with grants and/or other temporary funding sources
- when the duties of the position exclude either teaching or research as a major responsibility
- when the position does not require a terminal degree
- when the appointment is made in accordance with section 3.5 (Health Sciences Division)

3.14.1 Non-Tenure Track Academic Rank Positions/Conditions

1. With the exception of explicit term contracts, appointments to non-tenure track faculty positions are made on an annual basis and are not automatic. The decision to reappoint, non-reappoint, or non-renew may be based upon an annual performance evaluation of the incumbent, on program needs, or on the financial position of the University. Non-renewal or non-reappointment notification dates and procedures will be the same as those for tenure-track positions.
2. Non-tenure track appointees are eligible for participation in faculty governance activities, including Faculty Senate privileges, committee memberships, and departmental deliberations.
3. Non-tenure track appointees are eligible to participate in faculty development opportunities available to tenure track faculty.
4. Non-tenure track appointees are eligible for benefits comparable to tenure track appointees.
5. Ordinarily, annual performance evaluations will be conducted for non-tenure track faculty positions.

6. Upper limits for the number of non-tenure track positions may be established by the various colleges.

3.14.2 Non-Tenure Track Instructor Positions

Non-tenure track Instructor appointments are ranked as follows:

Instructor
Senior Instructor

As a general rule, research is not a responsibility of these positions unless otherwise stated.

The rank of Instructor is open to faculty holding a minimum of a master's degree appropriate to the field in which they are teaching. Their primary duties include teaching in their field, academic advising, active involvement in departmental and university governance, professional development and public service, or equivalent academic activity.

The following requirements must be met for promotion from Instructor to Senior Instructor.

- The candidate must have at least seven years of full-time professional experience at the University of South Alabama as an Instructor. For prior experience or other professional experience to count toward promotion eligibility, the individual's initial letter of appointment must so specify and indicate the extent to which it will be counted. Lacking this specification, no prior experience can be used to establish eligibility to be considered for promotion. The prior experience must have been at an institution of higher education approved by the University and must have been full-time. A maximum of three years credit for the prior experience may be applied toward the probationary service period for promotion eligibility. The granting of prior service credit is never automatic. The decision to grant credit and the amount of credit to be granted is based on the recommendation of the departmental chairperson and the dean and approved by the Senior Vice President for Academic Affairs/Vice President for Health Sciences and the President.
- The candidate must display evidence of excellence in teaching and in student advising or equivalent academic activity.
- The candidate must display evidence of professional development appropriate to the faculty member's assigned academic role.
- The candidate must demonstrate significant and sustained work in departmental, college and/or university-related services.

3.14.3 Non-Tenure Track Instructor – Promotion Procedures

Procedures for promotion from Instructor to Senior Instructor, at all levels, including departmental, college, dean, Senior Vice President for Academic Affairs and President, are identical to those outlined for tenure track faculty as outlined in the *Faculty Handbook*.

3.14.4 Non-Tenure Track Instructor – Promotion Increment

A salary increase of \$4,000 accompanies promotion from Instructor to Senior Instructor.

3.14.5 Non-Tenure Track Professorial Level Positions-Designation of Ranks and Titles

Non-tenure track faculty professorial level appointments are ranked as follows:

Assistant Professor
Associate Professor
Professor

3.14.6 Non-Tenure Track Professorial Level Positions-Promotion

Criteria and minimum time-in-rank before being eligible for promotion, and requirements for promotion in rank for non-tenure track professorial faculty positions are identical to those for tenure track professorial level faculty positions.

3.14.7 Change of Appointment Status for Non-Tenure Track Faculty

Procedures and conditions governing change from non-tenure track faculty appointment status to tenure track faculty appointment status are as follows:

1. Persons holding non-tenure track appointments, except those employed in Convertible Track positions (see section 3.5), will not be eligible for consideration for tenure track faculty rank, except as successful applicants responding to a normal, advertised search along with other candidates under affirmative action procedures. Change from non-tenure track status to tenure track status is not automatic.
2. Appointment to a tenure track position will be treated as a new appointment and the appointee must submit in writing his/her resignation from the non-tenure track appointment. Origination of recommendation and procedures relative to the change in appointment will follow procedures identical to those for appointment of new faculty.
3. Probationary periods for both tenure and promotion required for tenure track ranks will apply to individuals who change from non-tenure-track status to tenure track status (see section 3.11.4.2

Faculty in tenure track positions are not eligible for non-tenure track appointments.

3.15 Severance Policy and Procedures

3.15.1 Non-Reappointment

The precise terms and conditions of each appointment are to be stated in writing and are to be in the possession of the appointee and the University. At the University of South Alabama, appointments are made on an annual basis through the probationary period or until tenure has been granted (see section **3.11.4**). Non-reappointment of an individual during this period is not considered a dismissal. If a non-reappointment is necessary for institutional reasons unrelated to performance by the faculty member, the faculty member will receive communication to that effect. Faculty members who are given a letter of non-reappointment will receive no salary increase for the notice period. Furthermore, once the letter of non-reappointment has been issued, additional evaluation of the faculty member's performance will not be required.

3.15.2 The Standards for Notice of Non-Reappointment

Written notice of non-reappointment or of intention not to recommend reappointment should be given the faculty member according to the following standards:

- In the first year of service: notice should be given at least three months in advance of the last day of the faculty member's employment at the University.
- In the second year of service: notice should be given at least six months in advance of the last day of the faculty member's employment at the University.
- After two or more years of service: notice should be given at least 12 months in advance of the last day of the faculty member's employment at the University.

The following procedures within the University have been adopted relative to appointment, non-reappointment, dismissal, tenure, promotion, etc.

- A recommendation will be made by the department chair to the dean of the college or director of the division.
- Following a review by the dean of the college or the director of the division, a recommendation will be made to the appropriate vice president.
- Following a review by the Senior Vice President for Academic Affairs or Vice President for Health Sciences, a recommendation will be made to the President of the University.

The AAUP 1940 Statement of Principles on Academic Freedom and Tenure, the 1964 Standards for Notice of Non-Reappointment and the 1958 Statement on Procedural Standards in Faculty Dismissal proceedings establish a basis for the USA Faculty Handbook published policy concerning non-reappointment. The Non-Reappointment Policy published in the USA Faculty Handbook, however, will prevail in any differences.

3.15.3 Resignation

Faculty members are expected to give reasonable notice before terminating employment.

3.15.4 Termination/Dismissal

Obviously, a dismissal entails much more complicated procedures than does non-reappointment. All academic deans should become completely familiar with the statements contained in the AAUP Bulletin: Winter, 1963, Spring, 1964, Summer, 1967.

Termination for cause of continuous appointment, or the dismissal for cause of a teacher, previous to the expiration of term appointment, if possible, should be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges against him/her and should have the opportunity to be heard in his/her own defense by all bodies that consider the case. The teacher should be permitted to have an advisor of his/her own choosing who may act as non-legal 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 this University 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.

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

The AAUP's 1958 Statement on Procedural Standards in Faculty Dismissal proceedings as printed below has been endorsed by the University of South Alabama. Where the University policy differs with AAUP Policy, the University policy supersedes and prevails.

THE AMERICAN ASSOCIATION OF UNIVERSITY PROFESSORS

1958 Statement on Procedural Standards in Faculty Dismissal Proceedings

Introductory Comments

Any approach toward settling the difficulties which have beset dismissal proceedings on many American campuses must look beyond procedure into setting and cause. A dismissal proceeding is a symptom of failure; no amount of use of removal process will help

strengthen higher education as much as will the cultivation of conditions in which dismissals rarely if ever need occur. Just as the board of control or other governing body is the legal and fiscal corporation of the college, the faculty are the academic entity. Historically, the academic corporation is the older. Faculties were formed in the Middle Ages, with managerial affairs either self-arranged or handled in course by the parent church. Modern college faculties, on the other hand, are part of a complex and extensive structure requiring legal incorporation, with stewards and managers specifically appointed to discharge certain functions. Nonetheless, the faculty of a modern college constitutes an entity as real as that of the faculties of medieval times, in terms of collective purpose and function. A necessary precondition of a strong faculty is that it have first-hand concern with its own membership. This is properly reflected both in appointments to and in separations from the faculty body.

A well-organized institution will reflect sympathetic understanding by trustees and teachers alike of their respective and complementary roles. These should be spelled out carefully in writing and made available to all. Trustees and faculty should understand and agree on their several functions in determining who shall join and who shall remain on the faculty. One of the prime duties of the administrator is to help preserve understanding of those functions. It seems clear on the American college scene that a close positive relationship exists between the excellence of colleges, the strength of their faculties, and the extent of faculty responsibility in determining faculty membership. Such a condition is in no way inconsistent with full faculty awareness of institutional factors with which governing boards must be primarily concerned.

In the effective college, a dismissal proceeding involving a faculty member on tenure, or one occurring during the term of an appointment, will be a rare exception, caused by individual human weakness and not by an unhealthy setting. When it does come, however, the college should be prepared for it, so that both the institutional integrity and individual human rights may be preserved during the process of resolving the trouble. The faculty must be willing to recommend the dismissal of a colleague when necessary. By the same token, presidents and governing boards must be willing to give full weight to a faculty judgment favorable to a colleague.

One persistent source of difficulty is the definition of adequate cause for the dismissal of a faculty member. Despite the 1940 Statement of Principles on Academic Freedom and Tenure and subsequent attempts to build upon it, considerable ambiguity and misunderstanding persist throughout higher education, especially in the respective conceptions of governing boards, administrative officers, and faculties concerning this matter. The present statement assumes that individual institutions will have formulated their own definitions of adequate cause for dismissal, bearing in mind the 1940 Statement and Standards which have developed in the experience of academic institutions.

This statement deals with procedural standards. Those recommended are not intended to establish a norm in the same manner as the 1940 Statement of Principles on Academic Freedom and Tenure, but are presented rather as a guide to be used according to the nature

and traditions of particular institutions in given effect to both faculty tenure rights and the obligations of faculty members in the academic community.

Procedural Recommendations

1. Preliminary proceedings concerning the fitness of a faculty member

When reason arises to question the fitness of a college or university faculty member who has tenure or whose term appointment has not expired, the appropriate administrative officers should ordinarily discuss the matter with him/her in personal confidence. The matter may be terminated by mutual consent at this point; but if an adjustment does not result, a standing or ad hoc committee elected by the faculty and charged with the function of rendering confidential advice in such situations should informally inquire into the situation, to effect an adjustment if possible, and, if none is effected, to determine whether in its view formal proceedings to consider his/her dismissal should be instituted. If the committee recommends that such proceedings should begin, or if the president of the institution, even after considering a recommendation of the committee favorable to the faculty member, expresses his/her conviction that a proceeding should be undertaken, action should be commenced under the procedures which follow. Except where there is disagreement, a statement with reasonable particularity of the grounds proposed for the dismissal should then be jointly formulated by the President and the faculty committee; if there is disagreement, the President or his/her representative should formulate the statement.

2. Commencement of formal proceedings

The formal proceedings should be commenced by a communication addressed to the faculty member by the President of the institution, informing the faculty member of the statement formulated, and informing him/her that, if he/she so requests, a hearing to determine whether he/she should be removed from his or her faculty position on the grounds stated will be conducted by a faculty committee at a specified time and place. In setting the date of the hearing, sufficient time should be allowed the faculty member to prepare his/her defense. The faculty member should be informed, in detail or by reference to published regulations, of the procedural rights that will be accorded to him/her. The faculty member should state in reply whether he/she wishes a hearing and, if so, should answer in writing not less than one week before the date set for the hearing, the statements in the President's letter.

3. Suspension of the faculty member

Suspension of the faculty member during the proceeding involving him/her is justified only if immediate harm to himself/herself or others is threatened by his/her continuance. Unless legal considerations forbid, any such suspension should be with pay.

4. Hearing Committee

The committee of faculty members to conduct the hearing and render a decision should either be an elected standing committee not previously concerned with the case or a committee established as soon as possible after the President's letter to the faculty member has been sent. The choice of members of the hearing committee should be on the basis of their objectivity and competence and of the regard in which they are held in the academic community. The committee should elect its own chair.

5. Committee proceeding

The committee should proceed by considering the statement of grounds for dismissal already formulated, and the faculty member's response written before the time of the hearing.

If the faculty member has not requested a hearing, the committee should consider the case on the basis of the obtainable information and decide whether he/she should be removed; otherwise the hearing should go forward. The committee, in consultation with the President and the faculty member, should exercise its judgment as to whether the hearing should be public or private. If any facts are in dispute, the testimony of witnesses and other evidence concerning the matter set forth in the President's letter to the faculty member should be received.

The President should have the option of attendance during the hearing. He/she may designate an appropriate representative to assist in developing the case; but the committee should determine the order of proof, should normally conduct the questioning of the witnesses, and, if necessary, should secure the presentation of evidence important to the case.

The faculty member should have the option of assistance by counsel, whose functions should be similar to those of the representative chosen by the President. The faculty members should have the additional procedural rights set forth in the 1940 Statement of Principles on Academic Freedom and Tenure, and should have the aid of the committee, when needed, in securing the attendance of witnesses. The faculty member or his/her counsel and the representative designated by the President should have the right, within reasonable limits, to question all witnesses who testify orally. The faculty member should have the opportunity to be confronted by all witnesses adverse to him/ her. Where unusual and urgent reasons move the hearing committee to withhold this right, or where the witness cannot appear, the identity of the witness, as well as his/ her statements, should nevertheless be disclosed to the faculty member.

Subject to these safeguards, statements may when necessary be taken outside the hearing and reported to it. All of the evidence should be duly recorded. Unless

special circumstances warrant, it should not be necessary to follow formal rules of court procedure.

6. Consideration by Hearing Committee

The committee should reach its decision in conference, on the basis of the hearing. Before doing so, it should give opportunity to the faculty member or his/her counsel and the representative designated by the President to argue orally before it. If written briefs would be helpful, the committee may request them. The committee may proceed to decision promptly, without having the record of the hearing transcribed where it feels that a just decision can be reached by this means; or it may await the availability of a transcript of the hearing if its decision would be aided thereby. It should make explicit findings with respect to each of the grounds of removal presented, and reasoned opinion may be desirable.

Publicity concerning the committee's decision may properly be withheld until consideration has been given to the case by the governing body of the institution. The President and faculty member should be notified of the decision in writing and should be given a copy of the record of the hearing. Any release to the public should be made through the President's office.

7. Consideration by Governing Body

The President should transmit to the governing body the full report of the hearing committee, stating its action. On the assumption that the governing board has accepted the principle of the faculty hearing committee, acceptance of the committee's decision would normally be expected. If the governing body chooses to review the case, its review should be based on the record of the previous hearing, accompanied by opportunity for argument, oral or written or both, by the principals at the hearing or their representatives. The decision of the hearing committee should either be sustained or the proceeding be returned to the committee with the objections specified. In such a case the committee should reconsider, taking account of the stated objections and receiving new evidence if necessary. It should frame its decision and communicate it in the same manner as before. Only after study of the committee's reconsideration should the governing body make a final decision overruling the committee.

8. Publicity

Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements about the case by either the faculty member or administrative officer should be avoided so far as possible until the proceedings have been completed. Announcement of the final decision should include a statement of the hearing committee's original action, if this has not previously been made known.

3.16 Recommendations and Evaluations of Faculty

3.16.1 Dean Recommendations

A resolution passed by the Vice President's Council in 1986 requires deans to submit annual recommendations regarding faculty reappointments/non-reappointments for full-time, untenured faculty, both tenure track and non-tenure track.

3.16.2 Annual Evaluation of Faculty

All faculty are evaluated each year during the Spring Semester using the standard Affirmative Action Plan Evaluation Form. Weightings, other than 60-30-10, are approved by the dean of the college. All untenured tenure-track faculty also are evaluated annually during the probationary period for progress toward tenure (see policy statement in 3.11.4.1).

3.16.3 Student Evaluations of Faculty

All faculty teaching courses at the University of South Alabama are evaluated by students during the last 2-3 weeks of the semester, minimally once per academic year. The student evaluations of teaching are conducted through a University software system in either paper or electronic format. Check with your Academic Dean or Department Chair regarding the format of the evaluations used for your courses.

3.17 Academic Administrator Evaluation

Periodic performance evaluation and review of academic administrators provides a process to assist in the development of more effective administrative leadership. The academic administrator will receive performance feedback which should provide the basis for the continuous improvement of administrative performance. Periodic, formal evaluation of academic administrators - deans, directors, departmental chairs - is official academic policy at the University of South Alabama.

Academic administrative evaluations involving a survey of subordinates is a separate and unique evaluation process. The administrative evaluation is in addition to the annual performance evaluation conducted for purposes of merit and/or promotion decisions. Academic administrative performance evaluations may occur at any time as directed by the Senior Vice President for Academic Affairs/Vice President for Health Sciences.

The Senior Vice President for Academic Affairs/Vice President for Health Sciences will administer the evaluations of deans. The evaluation form will be sent to all chairs of the dean's college or school. The completed evaluation is to be returned, either signed or unsigned, to the Office of the Senior Vice President for Academic Affairs/Vice President for

Health Sciences in a sealed envelope. The written tabulated summary and any written comments will be given to the dean personally by the Senior Vice President for Academic Affairs/Vice President for Health Sciences. After the dean has had an opportunity to analyze the results, the Senior Vice President for Academic Affairs/Vice President for Health Sciences will schedule a performance review meeting with the dean. The meeting will provide an opportunity to discuss administrative strengths and weaknesses, and when necessary, develop improvement plans for specific areas which have been identified as weaknesses. The Senior Vice President for Academic Affairs/Vice President for Health Sciences will present a summary report of the administrative evaluation of deans to the President. The dean being reviewed may submit a response to the President and to the college faculty.

The evaluation of associate/assistant deans, chairs, or directors will be conducted by the dean. The evaluation form will be sent to all full time faculty in the department. The completed form will be returned, either signed or unsigned, to the office of the dean in a sealed envelope. A written summary, including the relevant written comments, will be given to the chair personally by the dean. After the chair has had an opportunity to analyze the results, the dean will schedule a performance review meeting with the chair. The meeting will provide an opportunity to discuss administrative strengths and weaknesses and, when necessary, develop improvement plans for identified weaknesses. The dean will submit a written summary report, including recommended improvement plans, to the Senior Vice President for Academic Affairs/Vice President for Health Sciences. The chair being reviewed may submit a response to the Senior Vice President for Academic Affairs/Vice President for Health Sciences and to the department faculty.

For the evaluation of associate/assistant deans, the evaluation forms will be sent to department chairs and to other faculty or staff identified by the dean who interact with the associate/assistant dean on a continuing basis. For the evaluation of directors, the evaluation form will be sent to all full-time employees working under the direct supervision of the director or other faculty or staff identified by the dean that interact with the director on a continuing basis. The evaluation process described for department chairs will be used for the evaluation of associate/assistant deans and directors.

The President will conduct an administrative performance evaluation of the Senior Vice President for Academic Affairs/Vice President for Health Sciences using the process as outlined above. The evaluation will be completed by those under the purview of Academic Affairs/Health Sciences.

3.18 Faculty Recruitment

The University of South Alabama is an Equal Opportunity/Equal Access Educational Institution. The pre-employment file must include official original transcripts from all institutions of higher learning (cannot be issued to student), a completed University Biographical Data form, Curriculum Vita, three original letters of reference from external referees, University Faculty Consent form, and any other required Compliance statements (*i.e. "The University of South Alabama is an Equal Opportunity/Equal Access Employer"*).

The Guidelines for Faculty and Administrative Searches (3.18.1) are presented to each search committee at the first meeting of the committee. The guidelines are available on the Academic Affairs policies webpage (<http://www.southalabama.edu/academicaffairs/policies.html>). These guidelines are followed from the beginning of a search to the final appointment of an applicant for an academic position to assure compliance with EEOC, Affirmative Action, ADA, Southern Association for Colleges and Schools, and Consent Decree mandates. The deans and department chairs are responsible for assuring that each full- and part-time faculty member meets all required criteria.

There is only one official personnel file maintained by the University, and that file is housed in the Office of the Senior Vice President for Academic Affairs/Vice President for Health Sciences.

3.18.1 Guidelines for Faculty and Administrative Searches

Introduction

This document is meant to serve as a guideline for deans, department chairs, and search committees involved in filling vacant or new faculty and administrative positions within the Division of Academic Affairs, the Pat Capps Covey College of Allied Health and the College of Nursing. A separate policy governs searches for endowed chairs. In the following step-by-step procedures, items marked with an (*) are those actions required by the University, and/or by Federal, State, and Immigration laws. All correspondence, including advertisements, brochures, and flyers must include the Equal Opportunity/Equal Access Employer statement.

All efforts to fill academic positions will be directed toward choosing the most qualified individual based on professional qualifications, personal integrity, and Equal Opportunity/Equal Access Employer considerations. These procedures are designed to assist academic personnel in completing the search process in an efficient and effective manner.

While the above referenced requirements have been incorporated into the following procedures, this does not replace the need for all persons concerned to be familiar with the Strategic Diversity Plan, as well as state and federal laws. Deans, department chairs, and their representatives are responsible for implementation of the Strategic Diversity Plan and compliance with federal and state laws.

Special Considerations

University policy and accreditation standards:

- Each faculty member be proficient in spoken and written English. The chairperson and dean must provide certification of proficiency prior to the appointment;
- Each full- or part-time faculty member hold AT LEAST a master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (minimum of 18 graduate semester hours in the teaching discipline), or justify, in exceptional cases, outstanding professional experience.

All faculty search committees are asked to ensure compliance with these minimum requirements during the applicant screening process **BEFORE** interviews are requested. Official transcripts must be a part of the completed file which is forwarded to the President when the candidate is recommended for appointment; requiring transcripts to be available early saves time in the final appointing process and enables the committee to ensure compliance with minimum requirements. Also, spoken and written English proficiency should be critically evaluated through written evaluation materials and through telephone interviews prior to scheduling on-campus interviews. No full- or part-time faculty will be appointed who do not meet these criteria.

This document is meant to serve as a guideline for deans, department chairs, and search committees involved in filling vacant or new faculty and administrative positions within the Division of Academic Affairs, the Pat Capps Covey College of Allied Health and the College of Nursing. A separate policy governs searches for endowed chairs. In the following step-by-step procedures, items marked with an (*) are those actions required by the University, and/or by Federal, State, and Immigration laws. All correspondence, including advertisements, brochures, and flyers must include the Equal Opportunity/Equal Access Employer statement.

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Hiring an Academic Employee without a Search

Exceptional Hires/Target of Opportunity

Hiring authorities at USA may elect to hire an individual from outside the University without a search when there is a time-limited opportunity to attract a faculty member or administrator well-suited to the institution.

Exceptional hires are rarely permitted and may only be considered when the individual is exceptionally qualified for the position and either when it is projected that the length of the normal search process would preclude the ability to hire the individual or the hiring of the individual meets an exceptional need of the institution.

All no-search hires must take into account whether the experience and skills of the proposed candidate are consistent with the priorities/plans of the specific academic unit and must adhere to all university policies and state/federal law. No-search hires will rarely be permitted and require the approval of the appropriate vice president(s) and the president. For these hires, the dean or deans, with the approval of the appropriate vice president(s) will identify the necessary financial resources. No-search hires do not bypass hiring procedures with the exception of the search itself. A committee must be established and the candidate must be interviewed according to the procedures described below. The department chair must also forward all the materials from the committee as well as his/her own assessment of the strengths and weaknesses of the candidate to the Dean. The responsibilities described below for the Dean and Vice President remain the same.

3.18.2 Searches for Tenure Track Faculty

Responsibilities of Department Chair

- When a vacancy occurs, or a new position is approved, departmental needs must be analyzed (with input from faculty) to determine the type of individual needed.
- Complete a “Request Authority to Fill Vacancy” form (Academic Affairs Form #1* - <http://www.southalabama.edu/academicaffairs/forms/AAForm1.pdf>) and forward through the approval process, i.e., chair to dean, dean to Vice President.

NOTE: Academic Affairs Form #1 includes the recommendation for search committee composition. ***All search committees must have at least 25% female representation. If it is not possible to meet the 25% female requirement within a department, faculty members from another department should be included.**

Responsibilities of Department Chair and Search Committee

- Determine and specify in writing the minimal qualifications, as well as any specific requirements, for an acceptable applicant. Qualifications will usually be those that would suggest a reasonable expectation that the applicant could achieve tenure in his/her discipline. Specify essential functions and responsibilities for the applicant to qualify for the position.
- Set up a tentative schedule for the screening process.
- Prepare an announcement/advertisement* for the position to include:

Position, rank, discipline

Starting date

Minimal credentials required

Application materials required (letter of interest, vita, transcripts, etc.)

Closing date for applications

*Equal Opportunity/Equal Access Employer statement

NOTE: *All announcements/advertisements must be approved by the Senior Vice President for Academic Affairs or the Vice President for Health Sciences.

NOTE: *All tenure-track positions **must** be advertised in a minimum of two national sources (on-line and/or print) appropriate to the discipline and to enhance potential for a diverse pool of applicants.

NOTE: All external searches for chairs and academic administrator positions **must** be advertised in the *Chronicle of Higher Education* and/or other national sources (on-line and/or print) appropriate to the discipline and to enhance potential for a diverse pool of applicants.

- Forward Direct Pay/LPO for each advertising source, with attached advertisement, through the approval process.
- Notify other universities/agencies of the vacancy.
- Post position announcement on department web-site. (Academic Affairs will place on University website)

At this point, the search committee will begin preparing for the arrival of applications.

- *Start a list of all applicants/nominees received with name, address, email, and telephone number. (This list is required documentation for the Affirmative Action

Report at the conclusion of the search; it is easier to do the list as applications are received rather than at the end of the process.)

- *Create a file immediately upon receipt of an application/nomination—one file for each application. (These files must be retained for three years.)
- *Send an acknowledgment letter citing the requirements for a completed file, i.e.,
 - ✓ Biographical Data Form (*include weblink in letter*) (<http://www.southalabama.edu/academicaffairs/forms/BiographicalDataForm.pdf>),
 - ✓ Three signed, original or pdf documents, professional letters of reference (the file must include the originating email, institutional affiliation and contact information so that we may verify the sender),
 - ✓ Curriculum vitae, and
 - ✓ Official transcripts from all institutions of higher learning from which a degree was received,

with an Affirmative Action Card enclosed. The letter should also include the statement, “Proof of U. S. citizenship or other authorization to work in the United States will be required within three (3) days after employment.”

NOTE: A USA Faculty Consent Form must be completed by applicants interviewed on campus.

- Normally references are contacted by telephone (in addition to the requested written reference), but special care must be taken to keep all information confidential, using it only for administrative purposes.
- After the screening and evaluation process is completed, the committee will normally select two (2) or three (3) candidates to recommend to the dean for campus interview.
- Upon approval by the dean, contact the selected candidates, invite him/her to campus, make arrangements (lodging, interview schedule, meals, escorts, etc.) and publish schedule and brief resume for all interested parties.

NOTE: Interviews should be scheduled with the following individuals/groups:

Search/Screening Committee
Department Faculty
Department Chair
College Dean
Sr. Vice President for Academic Affairs or Vice President for Health Sciences
(for Department Chair and others) as deemed appropriate
President (as deemed appropriate)

- Schedule a scholarly presentation and teaching demonstration to be made by the candidate where appropriate.
- Conduct interviews. (A specific interview process must be determined prior to the actual visit. A paper trail is always advisable.) The search committee chair provides all applicants invited for campus interview a USA Faculty Consent Form. The candidate returns the completed USA Faculty Consent Form to the search committee chair. The USA Faculty Consent Form can be found at <http://www.southalabama.edu/academicaffairs/forms/facultyconsentform.pdf>.
- Solicit reactions from those people who meet with the candidate(s) during the interview process.
- Evaluate candidates, including the solicited responses.
- Prepare a report (from the committee) to submit to the department chair listing the perceived strengths and weakness of each interviewed candidate – stating whether the committee finds the candidate acceptable for the position.

The search committee chair completes the Affirmative Action Report and forwards it along with candidate's completed file to the department chair who will forward through channels to the office of the appropriate vice president. Supporting documentation must be attached to the report: the list of names, mailing and email addresses, and telephone numbers of all applicants, advertisement copy, recommendations and evaluations. Any other pertinent information relating to the search/screening, also, may be included.

NOTE: The department chair will forward all the materials from the search committee as well as his/her own assessment of the strengths and weaknesses of all candidates found acceptable by the search committee.

Responsibilities of the Dean and Vice President

NOTE: The dean will recommend the candidate(s) for appointment to the appropriate vice president. This recommendation should include:

- The completed file of the recommended candidate;
- Perceived strengths and weaknesses of each candidate – stating whether or not the candidate is acceptable with justification for the recommended candidate; and
- The completed Affirmative Action Report along with the chair's recommendation for appointment to the dean of the college.

An appointment letter will not be issued until the following is received and verified in the appropriate vice president's office:

- Completed Affirmative Action Report with supporting documentation.
- Completed file with required documentation: Biographical Data Form, USA Faculty Consent form, three signed original professional letters of recommendation, curriculum vitae, memorandum with recommendation from the department chair, memorandum with recommendation and terms from the dean, and official transcripts from all institutions of higher learning from which a degree was received.
- Satisfactory results of the degree verification and background checks.

When/if a candidate is recommended for an appointment, and after the appointment letter has been issued and the appointment accepted by the candidate, the committee should notify all other applicants that the search has been successfully completed.

3.18.3 Searches for Non-Tenure Track Faculty

Procedures for filling non-tenure track faculty positions or for filling temporary positions (full-time appointments for terms less than a full academic year) are the same as above, except advertising may be done on a local or regional basis rather than on a national basis and scholarly presentation may not be necessary. If the search is confined to the local/regional area, advertisement **must** be done in the *Mobile Register*. (If the search for a non-tenure track position is advertised nationally, then it **must** be advertised in appropriate national sources pertinent to the discipline). Non-tenure track positions at the rank of Assistant Professor or higher may be advertised in appropriate national sources pertinent to the discipline. See Chapter 3 section 3.18.2 (full-time) and Chapter 3, section 3.8.2 (part-time) in the *Faculty Handbook* for more detail.

3.18.4 Searches for Part-time Faculty

Part-time faculty are temporary employees who are appointed "as needed" on a semester-by-semester basis. National searches are not conducted for part-time faculty. Although search committees are not normally used for part-time faculty, the chair will appropriately consult with departmental faculty in their selection and appointment. Advertisements in local newspapers will be done only when deemed necessary by the dean and the chair. In those cases where local advertisements are necessary, the *Mobile Register* will be used. Required documentation for a part-time faculty appointment is identical to that of a full-time faculty appointment, except for the Affirmative Action Report. It should consist of a Biographical Data Form, USA Faculty Consent Form, official transcripts, curriculum vitae, and three signed original letters of recommendation submitted to the dean, who upon approval will forward to the appropriate vice president. Once approved for addition to the Part-Time Faculty Roster, the individual is eligible to teach on an "as needed" semester-by-semester basis.

3.18.5 Unsolicited Applications for Faculty Positions

Each department/academic unit should have established a policy for dealing with unsolicited applications and faculty position inquiries. Two options are:

1. If an unsolicited application is received and no suitable position exists, the inquiry should be acknowledged by the department accordingly; or
2. All unsolicited applications should be kept on file for 90 days. Applicants should be informed that materials are retained for a 90-day period and after 90 days, a new application is required if the applicant wishes to be considered for future vacancies.

3.18.6 Searches for Departmental Chairs

Searches for department chairs should follow the same procedures as specified for tenure-track faculty positions with the following exceptions:

- The dean will submit the initial request for a search (Academic Affairs Form #1) and will recommend names for the search committee on that form. The committee should include a chair from another department as a member of the committee. As with all search committees, the composition must be at least 25% female.
- Interviews with other department chairs in the college and with the deans (or their representative) from other colleges served by the department concerned should be included.
- The recommendation for appointment should include the recommendation for faculty rank as well as the recommendation for appointment to chair.

3.18.7 Academic Administrative Searches

Searches for administrators should follow the same procedures as specified for tenure-track faculty and chair searches with the following exceptions:

- After approval to conduct the search has been obtained, the appointing officer will appoint and charge the search committee for vice presidents, deans, assistant/associate deans and directors.
- At the levels of assistant/associate dean and director the need for a search will be determined by the appointing officer with approval of the appropriate vice president and after consultation with the President of the Faculty Senate.
- For searches at the level of dean and above, membership of the committee should include a dean/vice president and faculty representation which will include a

representative nominated by the Faculty Senate. Normally, a dean/vice president will chair the committee.

- Searches normally should be conducted such that interviews and most committee deliberations occur during the nine month academic year so that faculty participation in the process is more practical. For searches in university units that operate with a twelve month academic calendar, this provision does not apply.
- The interview process should include the opportunity for the following individuals to meet with the candidate(s) for searches for vice presidents and deans:

Search Committee
Faculty of appropriate academic unit(s)
Faculty Senate
Deans and Associate Deans
Graduate Dean
Vice Presidents
President

- Candidates may be asked to give a presentation/discussion which should be open to all interested persons.
- If a candidate is to hold faculty rank the designated department will be asked to submit a written recommendation to the Search Committee concerning the qualifications of the candidate.
- The Search Committee will make recommendation to the appointing authority. The committee members will prepare a document indicating their collective judgment about the strengths and weaknesses of each acceptable candidate. The committee or its representative will meet with the appointing officer to elaborate on the committee's reasoning, including any minority opinions.
- The appointing officer has the latitude to choose among candidates deemed acceptable by the committee. Candidates are to be determined acceptable by the committee by a simple majority of committee votes.
- Finalists for positions of vice president, dean, and director may be invited to visit the campus a second time. The candidate's spouse may be included in the second visit, with prior approval. The appointing officer will meet with the search committee ideally before the appointment is publicly announced, to brief the committee on the appointment decision.

3.18.8 Internal Administrative and Department Chair Searches

Normally, all faculty and academic administrative positions are filled following both a nationally and internally advertised search process. In certain instances, however, the University may elect to limit the search process for a dean, assistant/associate dean, department chair, or director to internal applicants. An internal search could be justified in any of the following circumstances:

- When there is consensus that a qualified individual is already employed by the University, and there is urgency to fill the position in order to prevent prolonged disruption of University services;
- When there is evidence that an internal search would provide an opportunity to comply with the University Affirmative Action Plan by appointing a qualified minority and/or female who is already employed by the University;
- When there are fiscal constraints.

In such cases, the appropriate vice president, in consultation with the dean or other appropriate administrative head and the President of the Faculty Senate, may declare an internal search to fill a vacancy. Internal searches should be conducted in the same manner as externally advertised searches with the exceptions of (1) limiting the position announcement to the University community, and (2) the Search Committee for internal departmental chair searches will be chaired by a departmental chair from another department.

3.18.9 Information Relevant to All Searches

- ❖ Final reporting must be made on ALL search activities using the Affirmative Action Report Form. This includes searches that are successfully filled, closed, or canceled.
- ❖ Relevant forms for Faculty/Administrative searches are located on the Academic Affairs webpage, <http://www.southalabama.edu/academicaffairs/forms/facultyconsentform.pdf>.
- ❖ Affirmative Action Cards may be obtained from the appropriate Vice President's Office.

3.19 College of Medicine - Guidelines and Policies Relating to Faculty Appointments, Promotions and Tenure

Policy Approved by the Board of Trustees on April, 2004, Revised 2012

3.19.1 Primary Faculty Appointments

1. **Academic track.** Appointment to a particular academic track is based on the expected primary focus of academic effort for that individual, i.e., research, education or clinical practice. For promotion or tenure, evaluation of scholarship focuses on the major academic effort defined by the appointment track:
 - Investigator - scholarship focus on research
 - Educator - scholarship focus on medical education
 - Clinician - scholarship focus on clinical practice
2. Appointments can be made on a **tenure-accruing or non-tenure basis**, depending on the track.
 - Appointments to the Investigator and Educator tracks can be tenure-accruing or on a non-tenure basis. When the appointment is tenure-accruing, tenure is recommended based on: 1) evidence of the capacity and likelihood for continued academic excellence, including continued intellectual, scholarly, and professional vitality; 2) evidence of dedication to the educational mission of the College; and 3) ability and willingness to contribute via service. The awarding of tenure is considered separately from the promotions process. Tenure is never automatic, regardless of the number of years of service.
 - Appointments to the Clinician track generally will not be tenure-accruing.
 - Scholarship and excellence are expected for promotion in any track, regardless of whether the appointment is tenure-accruing or on a non-tenure basis.
 - With the exception of explicit term contracts, appointments to non-tenure track faculty positions are made on an annual basis and are not automatic. The decision to reappoint, non-reappoint, or non-renew may be based upon an annual performance evaluation of the incumbent, on program needs, or on the financial position of the University.
3. Appointment **rank and title**
 - The rank of Lecturer is a faculty appointment. However, this is not a tenure-accruing rank. This rank can be used for individuals appointed to a departmental position who deserve faculty status but who do not have a terminal degree.
 - The rank of Instructor is also a faculty appointment. Although Instructors may not be granted tenure, years spent at this rank may be applied toward tenure-accruing years if this individual is subsequently promoted to the rank of Assistant Professor.
 - Appointment at the level of Associate Professor or Professor requires evidence of significant academic, scholarly contributions by the candidate.
 - The academic rank will be used as the professorial title for all faculty.
4. Board certification and licensure
 - Physicians (MD or DO) must have a current Alabama license.

- To be appointed as an Assistant Professor, these individuals must be board-eligible in their specialty. Any exceptions require the approval of the Dean of the College of Medicine.
 - Physicians promoted to Associate Professor or newly appointed as Associate or Full Professor must be board-certified in their specialty or subspecialty; this requirement pertains both to academic and adjunct appointees. Any exceptions require the approval of the Dean of the College of Medicine.
 - Board certification must be by a board recognized by the American Board of Medical Specialties or the American Osteopathic Association.
5. New appointees are expected to meet the time in previous rank and promotion criteria established for the proposed rank within the pertinent track.

Materials required for new appointments should be forwarded to FCAPE **at least 5 weeks in advance of the proposed appointment date**. New appointments can be reviewed throughout the year. The materials required are outlined on the College of Medicine Faculty Action Form.

3.19.2 Altering Primary Appointments

1. Altering a primary appointment is a change in status that can occur in several ways: moving from a tenure-accruing to a non-tenure status (or vice versa), moving from one academic track to another, or a change in primary department.
2. A change from tenure-accruing to non-tenure status (or vice versa) will be treated as a new appointment and must be a voluntary decision of the faculty member. Required materials are outlined on the Faculty Action Form.
3. Conversion to a non-tenure status does not require FCAPE review, however, conversion to a tenure-accruing status does require such review.
4. While a change in status may be requested at any time, it should not accompany a request for promotion and/or tenure.

3.19.3 Evaluation for Promotion and Tenure

1. Regardless of the academic track, promotion to successive ranks and/or tenure in the College of Medicine is based on the expectation of excellence and scholarship. Promotion or tenure is never automatic, regardless of the number of years of service.
2. Evaluation for promotion or tenure is based on assessment of scholarship, teaching, and service. It should be noted that for tenure, excellence is expected in two of these three areas. The academic track identifies the major focus for evaluation of scholarship. General criteria for promotion and tenure in each track are outlined in

this document. More specific expectations may be defined within each Department. However, expectations defined within a Department may not be less than those outlined in this document.

3. Excellence is defined as a high quality of performance and sufficient quantity of performance (or product). Thus, achievement of minimal expectations alone would not meet this standard.
4. Scholarship is defined as the intellectual/creative synthesis of new knowledge or insights, the testing of new hypotheses, and the dissemination of ideas and findings to colleagues. Excellence is intrinsic to scholarship, in that the product of scholarly activity should be peer-reviewed. Scholarship may be documented in many areas.
5. A pre-tenure review must be conducted for all tenure-accruing assistant professors in the third or fourth year of their probationary period. The department chair will conduct the mid-probationary review in consultation with the tenured faculty of the department. The chair will provide the faculty member a written summary of the review and forward a copy of that summary to the dean's office.

3.19.4 Promotion

1. The College of Medicine has adopted a uniform promotion date of August 15th.
2. Probationary periods - time in rank
 - Instructors and Assistant Professors in a tenure-accruing track must be recommended for promotion to the rank of Associate Professor prior to the end of the 7th year of total creditable service. A recommendation relating to tenure must accompany the request for promotion.
 - Generally, candidates must have at least 6 years of full-time professorial experience as an Assistant Professor before a promotion to Associate Professor will be considered.
 - Credit for previous full-time academic service may be granted up to a maximum of 3 years. If credit is granted, the number of years will be designated in the individual's initial letter of appointment. Lacking this specification, prior experience cannot be used to meet time-in-grade requirements for promotion.
 - To be considered for promotion to the rank of Professor, the candidate must have at least 4 years of full-time academic experience as an Associate Professor.
 - Time spent on sabbatical leave may count toward the required probationary period, whereas other types of leave (e.g., family or medical leave) do not count.
3. General criteria for promotion within academic faculty tracks
 - **Investigator.** Faculty in this academic track are full-time faculty whose professional effort is focused on basic, translational and/or clinical research.

Faculty in the Investigator track are also expected to make contributions to medical education and service. Scholarly activity related to research is expected for advancement in rank.

- **Assistant Professor.** At the Assistant Professor level, faculty in the Investigator track must have an MD, PhD, or equivalent terminal degree. During the term of appointment at this rank, development of the faculty member with respect to scholarship, teaching and service is expected. The major commitment of scholarly effort in this academic track is to research. At the rank of Assistant Professor, commitment to excellence in medical education and service is expected.
- **Associate Professor.** Promotion to Associate Professor within this track will ordinarily be awarded to faculty who demonstrate a significant body of independent research and research support that is recognized by scientific peers at the national level, and excellence in teaching and service. Continued service and performance at the rank of Assistant Professor by itself shall not constitute grounds for promotion to Associate Professor. At this rank, Investigators are expected to be independent and nationally-recognized for their work, as measured by success in obtaining and maintaining extramural funding for investigator-initiated, hypothesis-oriented and peer-reviewed research projects from one of the major national funding agencies, and a solid publication record in peer-reviewed journals. Invited talks at local and regional scientific meetings also provide evidence for independence and recognition. Excellence in teaching medical and graduate students is expected, as evaluated by peers and students. Excellence in service is expected, through active membership in College of Medicine committees, participation in the peer-review process for scholarly journals or study sections, typically in the capacity of an ad hoc reviewer, and in local or regional professional scientific organizations.
- **Professor.** Promotion to the rank of Professor in the Investigator track requires a consistent record of excellent performance at the Associate Professor level. However, continued service and performance at the rank of Associate Professor shall not, by itself, constitute grounds for promotion to Professor. With respect to research, a track record of obtaining and maintaining multiple independent NIH grants or extramural funding of equivalent status is expected, as is the attainment of a strong national reputation for research. Excellence in teaching and service is expected. In addition, evidence of leadership is expected for promotion to this rank, both within the College of Medicine and within the scientific community. The individual would be expected to demonstrate leadership within the department through successful course directorships, as chair of College of Medicine committees, or via administrative duties for the College. Leadership in service is also evidenced by serving as an officer or committee chair for national and international scientific societies, in the design of national or international scientific meetings, as a regular member of a study section, or as a member of a peer-reviewed journal editorial board.

- **Educator**. Faculty in the Educator track are full-time faculty, usually with a primary appointment in a clinical department, whose major professional effort focuses on medical education and service. Scholarly activity related to medical education and demonstrated excellence in teaching are expected for advancement in this track.
- **Assistant Professor**. Faculty in this track must have an MD, PhD or equivalent doctoral degree. During the term of appointment at this rank, development of the faculty member with respect to scholarship, teaching and service is expected. The major commitment of scholarship effort in this academic track pertains to medical education. At the rank of Assistant Professor, commitment to excellence and scholarship in medical education and service is expected.
- **Associate Professor**. Promotion to Associate Professor within this track will be based on a consistent record of excellence in teaching, service, and contributions to the academic community. However, continued service and performance at the rank of Assistant Professor shall not, by itself, constitute grounds for promotion to Associate Professor. At this rank, faculty are expected to be independent academic scholars. Academic efforts will focus on the scholarship of integration, application, or teaching as well as the delivery of educational service to the medical school community. Scholarly contributions may include peer-reviewed original articles, book chapters, development of new curricular materials, and/or contributions to textbooks. Though not the only criteria, publication and/or presentation of scholarly efforts in national forums or acquisition of extramural funding to support curricular efforts will be considered strong evidence as to the importance of the work. Since curricular materials are often not peer-reviewed, the applicant will be expected to include sufficient documentation to demonstrate the importance and quality of these contributions. Teaching as evaluated by students and peers should reflect excellence. Excellence in service is expected, through participation in College of Medicine committees and in local or regional professional organizations. Those applicants with a clinical appointment should continue to demonstrate excellence in direct care delivery as documented through patient satisfaction measures, clinical performance measures, and peer evaluations and should maintain clinical certification by his or her specialty board.
- **Professor**. Promotion to the rank of Professor in the Educator track requires a consistent record of excellent performance at the Associate Professor level. This individual should be recognized by peers and students or other trainees as a preeminent educator and should have a national reputation for continued scholarship with respect to integration, application, or teaching as well as excellence in teaching. Leadership is expected for promotion to the rank of Professor. This could be evidenced through initiation and completion of major revisions of the curriculum or major curricular innovations. Similarly, service as residency program director or course director of a major academic course would provide evidence of leadership. At this rank, the individual would also be expected to demonstrate leadership within College of Medicine committees or via administrative duties to the College and/or in professional societies. Those

applicants with a clinical appointment should continue to demonstrate excellence in direct care delivery as documented through patient satisfaction measures, clinical performance measures, and peer evaluations and should maintain clinical certification by his or her specialty board.

- **Clinician**. Faculty in the Clinician track are full-time faculty with a primary appointment in a clinical department, whose professional effort is focused on patient care and teaching activities related to patient care. Scholarship and excellence related to clinical practice are expected for promotion within this track.
- **Assistant Professor**. Assistant Professors in the Clinician track must have an MD or equivalent terminal degree, must have completed an ACGME-accredited training program and be eligible to take the specialty examination in his or her field. During the term of appointment at this rank, development of the faculty member with respect to scholarship, teaching and service is expected. Faculty in the Clinician track must have demonstrated commitment to scholarship and excellence regarding patient care, the latter documented through patient satisfaction measures, clinical performance measures, and peer evaluations. At the rank of Assistant Professor, commitment to excellence in medical education and service is also expected.
- **Associate Professor**. Promotion to Associate Professor within this track will be based on scholarship with respect to clinical practice and the delivery of exceptional clinical service to the local and regional community. Although the primary focus of this track is clinical care, delivery of such care will not in and of itself constitute grounds for promotion to Associate Professor. Academic efforts will focus on the scholarship of application with respect to clinical practice. The applicant will be expected to include sufficient information to the committee to demonstrate the importance of this work to the institution. Though not the only criteria, publication and/or presentation of scholarly efforts in national forums will be considered strong evidence as to the importance of the work. Evaluation of clinical services by outside organizations, which demonstrates a level of care that meets or exceeds national standards, will provide strong evidence for excellence. Applicants should continue to demonstrate excellence in direct care delivery as documented through patient satisfaction measures, clinical performance measures, and peer evaluations and should maintain clinical certification by his or her specialty board. Contributions to medical education, through delivery of grand rounds, one-on-one mentoring of medical students and/or participation in educational activities during clerkships or in residency programs, should reflect excellence. Active participation in College of Medicine committees, particularly those which pertain to clinical care, is required. Participation in planning and program committees for local or regional medical organizations constitutes another measure of service.
- **Professor**. Promotion to the rank of Professor requires a consistent record of excellence and scholarship at the Associate Professor level. This individual should be recognized as a preeminent clinician and should have a record of continued excellence and scholarship with respect to clinical practice. This

could be evidenced through introduction and implementation of major clinical innovations or major improvements in the delivery of clinical services within the College of Medicine. Leadership is expected for promotion to this rank, as evidenced by clinical leadership within the department, such as directorship of a clinical service. Evidence of successful review of the service by external agencies should be provided if available. At this rank, the individual would also be expected to provide leadership within College of Medicine committees or via administrative duties to the College. In addition, the individual would be expected to provide leadership within local or regional professional medical organizations, through leadership on planning and program committees. Continued demonstration of excellence in direct care delivery as documented through patient satisfaction measures, clinical performance measures, and peer evaluations is expected, as is maintenance of clinical certification by specialty boards.

3.19.5 Tenure

1. Tenure is evaluated separately from promotion or appointment.
2. Tenure in faculty tracks. Tenure acquisition is never automatic, regardless of the number of years of service and does not apply to all tracks.
 - Investigator. Tenure may be granted to faculty whose excellence in professional and scholarly activities is recognized at the national level, who have demonstrated excellence in teaching, and who demonstrate a long-term commitment to the institution.
 - Educator. The granting of tenure to faculty in this track is limited to a small number of faculty who demonstrate a level of outstanding performance in medical education and commitment to the institution which stands significantly above that achieved by the majority of faculty in this academic track. It is expected that the professional and scholarly activities of these individuals are recognized at the national level.
 - Clinician. This is not a tenure-accruing track.
3. Probationary periods - time in rank
Tenure for faculty promoted from within the College of Medicine
 - Assistant Professors in tenure-accruing tracks must be recommended for promotion to the rank of Associate Professor and tenure prior to the end of the 7th year of service in the College of Medicine.
 - For newly appointed Assistant Professors, credit for previous full-time tenure-accruing service at other institutions may be granted up to a maximum of 3 years. If credit is granted, the number of years will be designated in the letter of appointment.
 - Faculty promoted to the rank of Associate Professor, but not awarded tenure will be considered for tenure after a 3-year probationary period as Associate

Professor. The total duration of non-tenured appointment at the University of South Alabama for these individuals should not exceed 7 years. If the term of prior non-tenured appointment as Assistant Professor exceeds 4 years, the length of service as Associate Professor before tenure eligibility will be reduced so that the total non-tenure appointment does not exceed 7 years.

Tenure for new appointments

- Professors and Associate Professors holding tenure at other institutions may receive tenure when appointed to the faculty of the University of South Alabama College of Medicine in the Investigator or Educator track.
- Individuals recruited from outside the institution at the rank of Professor or Associate Professor who are not appointed with tenure should be considered for tenure after probationary periods of no more than 4 and 5 years, respectively.
- Lecturers, Instructors and Assistant Professors will never be eligible for tenured appointments.

The “tenure clock” begins on the date of the initial appointment to a tenure accruing position, unless credit for prior service has been explicitly stated in the letter of appointment. Time spent on sabbatical leave does count toward the required probationary period, whereas other types of leave (e.g., family or medical leave) do not count.

3.19.6 Joint Appointments

1. The College of Medicine permits joint departmental appointments when there is evidence of meaningful participation of a faculty member in the educational, research and service programs of both departments. The merits of the proposed joint appointment will be judged on the impact that appointment will have on these missions. Such appointments must mutually benefit the faculty/departments involved. Appointments that serve as recognition of an individual’s achievements in another field are considered unnecessary.
 - Joint appointments on the basis of research may be made in order to provide space and/or other tangible support to the investigator or to enable the investigator to apply for research funding not available without such appointment. Collaborative research across departmental lines alone does not provide grounds for joint appointment.
 - Joint appointments on the basis of teaching reflect substantial contributions of the appointee to teaching within the secondary department. Ordinary interdepartmental cooperative efforts in teaching do not constitute grounds for joint appointment.
2. The primary department assumes responsibilities for remuneration and recommendations for promotion and/or tenure. If a joint appointment is made upon

initial appointment to the University faculty, a primary department must be designated at that time.

3. Appointments to a secondary department for current faculty (joint appointments) will be at the discretion of the Chair.
 - In general, such appointments must mutually benefit the parties involved in a real and demonstrable manner.
 - When joint appointments are made, the Chair of the secondary department should forward a letter for informational purposes to FCAPE documenting the relationship. The letter should be co-signed by the appointee and the Chair of the primary department.
 - Joint appointments should only be continued for as long as the perceived value of the relationship continues. The Chair of the secondary department and the appointee should review the relationship annually.
4. All joint appointments are made at the rank of Assistant Professor or above. Joint appointment as an Associate Professor or Professor requires that the appointee demonstrate accomplishments similar to those required for primary appointment at that rank or promotion to that rank in the secondary department. Appointments do not have to be parallel, i.e., the individual's rank in the secondary department may be lower than that in the primary department. Appointment in the secondary department is never tenure-accruing.

3.19.7 Adjunct Appointments

1. Individuals eligible for an Adjunct Faculty appointment in the College of Medicine include: USA faculty with primary appointments in other colleges within the University, clinicians employed by USA or its clinical affiliates, i.e., the USA Health Systems, the Health Care Management, LLC, AltaPointe Health Systems, or other individual group practices primarily to provide clinical services, faculty at other institutions, or other professionals who are not employees of the University or the USA Health System.
2. Adjunct Faculty are appointed specifically for their participation in the research, clinical, or educational mission of the College of Medicine, in either basic science or clinical departments. All such faculty must use the word "Adjunct" when referring to their affiliation with the College of Medicine on business cards, publications and presentations. Adjunct Faculty must contribute an average of twenty hours of service to the College of Medicine each year.
3. Initial adjunct appointments at the rank of associate professor or professor must be reviewed by FCAPE. As with regular faculty appointments, rank will depend upon professional credentials and experience:
 - Adjunct Lecturer. This rank can be used for individuals who deserve Adjunct Faculty status but who do not have a terminal degree.

- Adjunct Instructor. This rank is reserved for those who have a PhD, MD, or equivalent terminal degree, but do not yet have the experience to warrant appointment to adjunct professorial ranks, such as those in fellowship training.
 - Adjunct Assistant Professor. Adjunct Assistant Professors must have a PhD, MD, or equivalent terminal degree. MDs with clinical responsibilities must have specialty board eligibility or certification and current Alabama licensure.
 - Adjunct Associate Professor. For appointment as an Adjunct Associate Professor, the above criteria must be met. In addition, MDs must be board certified. Appointment or promotion to Adjunct Associate Professor requires a minimum of 6 years relevant professional experience, with documentation of excellence in one or more of the following: (1) superior teaching, (2) activity as a role model or mentor, (3) significant research collaborations, or (4) substantive service contributions.
 - Adjunct Professor. Appointment or Promotion to the rank of Adjunct Professor requires the above criteria, as well as the demonstration of the individual's long-term commitment to professional experience.
4. Scholarship is not an expectation for individuals appointed to this track nor is scholarship required for promotion within this rank.
 5. All adjunct appointments should be renewed on an annual basis. Renewal does not require FCAPE review and approval.

3.19.8 Requests for Promotion and/or Tenure

1. Requests for promotion and/or tenure are reviewed once per year by the College of Medicine Faculty Committee on Appointments, Promotions and Evaluations (FCAPE).
2. Requests are initiated by the Department Chair. The Chair's letter accompanying the request should summarize the rationale for promotion and/or tenure. In rare cases, the request may be initiated by the faculty member.
3. All requests for promotion and/or tenure will be prepared and submitted in a standardized form. The packet will include documentation of the candidate's qualifications and other required materials that can be used in support of a candidate (e.g., letters of recommendation, the Chair's letter, and the summary from the intra-departmental review).
4. The request for promotion and/or tenure must include a minimum of three letters from individuals outside the institution and three letters from individuals within the institution.
5. Requests for promotion and/or tenure must be initially reviewed within the candidate's primary department by departmental faculty at or above the proposed

rank. A summary of the departmental review must be included in the packet forwarded to FCAPE.

6. Packets documenting required materials must be submitted in two formats; 1) one original set of documents organized in a 3-ring binder (Office of the dean copy), and 2) one collated set of documents organized in one PDF file (for FCAPE review), and fourteen copies of the complete packet submitted. The deadline for submission of packets is April 1st. Packets received after this date will not be reviewed.
7. Recommendations for promotion and tenure are forwarded from FCAPE to the Dean of the College of Medicine who in turn makes his/her recommendation to the Vice President for Health Sciences. Final administrative action is taken by the President of the University who submits recommendations to the Board of Trustees. Promotions and tenure are granted only by the Board.

3.19.9 Termination

1. Non-Reappointment: For faculty in tenure-accruing appointment, reappointments are made on an annual basis through the probationary period or until tenure has been granted. For faculty with non-tenure track appointments, reappointments similarly are made on an annual basis. Non-reappointment of a faculty member during this period is not considered a dismissal.

If a decision has been made to not grant tenure at the end of the probationary period for a faculty in a tenure-accruing appointment, the faculty member will receive a letter of non-reappointment no later than August 15 of that year. In such cases of non-reappointment, the period of untenured service is extended one year beyond the probationary period.

2. Dismissal: Dismissal is defined as termination of employment prior to the expiration of the appointment term. Policies governing dismissal are outlined in the University Faculty Handbook.

Where this policy differs from the 1940 AAUP Statement of Principles on Tenure, this policy will supersede the 1940 Statement.

4.0 FACULTY RIGHTS, DUTIES, AND CONDUCT

4.1 Academic Freedom and Tenure

The University supports the AAUP 1940 Statement of Principles on Academic Freedom and Tenure, (as revised in 1989 and 1990 to remove gender-specific references from the original text) as printed below. If University policy differs with AAUP policy, the University policy supersedes and prevails. With regard to references to “teachers and investigators” in the AAUP statement, such references are construed to include teaching/educator, research/investigator, and clinical faculty appointments at the University of South Alabama.

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 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 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 with it duties correlative with rights.

Tenure is a means to certain ends, specifically: 1. freedom of teaching and research and of extramural activities; 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.

4.1.2 Academic Freedom

- 1. The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.*
- 2. The teacher is entitled to freedom in the classroom in discussing his/her subject, but he/she should be careful not to introduce into his/her teaching controversial matter which has no relation to his/her subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of appointment.*
- 3. The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he/she speaks or writes as a citizen, he/she*

should be free from institutional censorship or discipline, but his/her special position in the community imposes special obligations. As a person of learning and an educational officer, he/she should remember that the public may judge his/her profession and his/her institution by his/her utterances. Hence, he/she should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she is not an institutional spokesperson.

4.1.3 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 exigency.

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

- 1. 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.*
- 2. Beginning with tenure-track appointment to full-time instructor or 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 provision that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that his/her 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 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.*
- 3. During the probationary period a teacher should have the academic freedom that all other members of the faculty have.*
- 4. Termination for cause of continuous appointment, or the dismissal for cause of a teacher, previous to the expiration of term appointment, should, if possible, be considered by both faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges against him/her and should have the opportunity to be heard in his/her own defense by all bodies that pass judgment upon his/her case. He/she should be permitted to have with him/her an advisor of his/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 his/her 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.

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

4.2 Faculty Grievance Procedures

4.2.1 Purpose and Scope

The purpose of these procedures is to provide an equitable procedure for investigating alleged grievances of individual members of the faculty of the University. A grievance proceeding should be initiated only in situations involving possible serious injustice to a faculty member of the University. A grievance hearing is in no sense a trial. Attempts to resolve the areas of discontent by informal discussion shall precede, continue through, and preferably, be a reason for terminating a grievance proceeding.

4.2.2 Definition and Grounds

A “grievance proceeding” is a proceeding initiated by one or more members of the faculty of the University who claim(s) to have been directly wronged. Such a wrong is concerned normally with appointment, termination, tenure, promotion, academic freedom, reassignment, or similar actions of substantial effect. Non-reappointments of untenured faculty are grievable only if the decision to non-reappoint occurs after re-appointment following a mid-probationary review. Non-reappointments are only grievable on matters of procedure. Faculty members may not grieve the merits of the non-reappointment decision. Faculty members who allege unlawful discrimination, or allege retaliation for making or supporting allegations of unlawful discrimination, are required to utilize the Affirmative Action Complaint procedure, rather than the grievance procedure, to have such allegations reviewed.

Grievable actions seek correction of an asserted wrong, which may emanate from allegations of an improperly authorized action, a substantial departure from duly established procedures, or the failure to consider or to give appropriate weight to substantial evidence favorable to the grievant.

Normally, only final decisions are subject to review by a grievance proceeding. Recommendations of faculty committees or administrators are not subject to review in grievance proceedings. No grievant may file more than one grievance related to the same final decision.

4.2.3 Informal Resolution

No grievance proceeding should be initiated unless, in an attempt to resolve the problem, the grievant has made every reasonable effort to resolve the problem on an informal and internal basis. This normally entails discussions with the grievant's departmental chair and the dean of the college or division. In the event, resolution has not been reached, the President of the Faculty Senate may consult with the appropriate vice president in an attempt to resolve the grievance informally before it is referred to the Grievance Committee. If they are unable to resolve the grievance, the vice president and President of the Faculty Senate will each provide the Grievance Committee with a summation of their efforts during the informal resolution process. These informal processes are hereby understood to exclude legal representation.

4.2.4 Initiation

A grievance proceeding shall be initiated by a written Notice of Grievance. Such notice shall:

- Contain a concise statement of the allegations giving rise to the grievance;
- State the relief sought;
- List the persons with whom discussions were had on the problem in an attempt to resolve it on an informal basis.

The grievant shall send the Notice of Grievance simultaneously to

The President of the University;
The President of the Faculty Senate;
The appropriate department chair;
The appropriate dean;
The Senior Vice President for Academic Affairs, the Vice President for Health Sciences,
or appropriate other officer;
Any other persons named in the Notice of Grievance.

The Notice of Grievance must be filed within 180 calendar days of the alleged wrong. If an exception to this provision is to be sought, before filing the Notice, the grievant should send the Notice with a request for an exception to the President of the Faculty Senate. The President will convene a subcommittee of the Grievance Committee Pool to consider the request for the exception. The subcommittee of the Grievance Committee Pool will communicate its decision to the grievant in writing within three (3) weeks. If the request is approved, the grievant should append such approval to the Notice of Grievance and proceed to file it as directed by these Procedures. If the request is not approved, there shall be no further proceedings under these Procedures.

4.2.5 Establishment of the Grievance Committee Pool

The President of the Faculty Senate, the Senior Vice President for Academic Affairs and the Vice President for Health Sciences shall together, during the spring of each year nominate a pool of fifteen (15) faculty members to serve as potential grievance committee members during the succeeding twelve (12) months from June 1 through May 31. Initially, one-third of this number shall be appointed for a one-year term, one-third for two-year terms, and one-third for three-year terms. Thereafter, all appointments will be for three years, with five (5) new appointees being named each year. Any necessary interim replacements will be for the unexpired term of the person being replaced. After the pool has been formed, it will be convened by the President of the Faculty Senate, in consultation with the Senior Vice President for Academic Affairs and the Vice President for Health Sciences, for familiarization of these procedures. During any one calendar year, no member of the pool shall be asked to serve on more than two (2) grievance committees nor shall the member be asked to serve on two (2) committees simultaneously. In the event the pool is exhausted and the necessity of a grievance committee should arise, the President of the Faculty Senate, the Senior Vice President for Academic Affairs, and the Vice President for Health Sciences shall nominate to the pool an additional five (5) members for that appointment year. Only those members of the faculty who hold tenure and the rank of Professor or Associate professor or equivalent rank and who hold full-time appointments on the faculty of the University shall be eligible to be appointed to the Grievance Committee Pool. Officers of administration, academic deans, and general administration and staff shall not be eligible for service on the Grievance Committee Pool.

A standing subcommittee of the grievance committee pool shall be appointed with one member being appointed by the President of the Faculty Senate, one member selected and appointed by the Senior Vice President for Academic Affairs and one member selected and appointed by the Vice President for Health Sciences.

4.2.6 Selection of the Grievance Committee

Once a Notice of Grievance has been filed as per these procedures, the President shall appoint within thirty (30) days a Grievance Committee made up of three (3) members of the faculty of the University selected from the Grievance Committee Pool. The copies of all letters of appointment to a Grievance Committee will be provided to the President of the Faculty Senate, the grievant, the appropriate department chair, the appropriate dean, the Senior Vice President for Academic Affairs, the Vice President for Health Sciences, and appropriate other officers or persons named in the Notice of Grievance.

The grievant and those persons listed in these Procedures shall have a right to challenge any person appointed to membership on the Committee because the Committee member is related to the grievant or to any person directly involved in the action or decision which is the subject of the grievance or to any person who made recommendations as to such actions or decisions, or because of past association with such person which would prejudice the Committee member's judgment. To exercise the right to challenge, the challenging

party must send a written notice to the President of the University within fourteen (14) days of appointment, with copies sent to those named. A ruling by the President excluding any individuals named in these procedures shall determine whether the facts present grounds for disqualification and his/her decision shall be final. The ruling by the President shall be issued within fourteen (14) days of the receipt of the challenge notice.

The appointment mechanism provided for in these Procedures shall be continued until such time as a Grievance Committee is constituted. In the event of a successful challenge, the President shall appoint, within ten (10) days of notice of such successful challenge, replacement faculty members equal in numbers to those successfully challenged.

Once the Grievance Committee is constituted, the President of the Faculty Senate shall appoint one of the members as chair. The Committee chair shall convene the Committee within fourteen (14) days. Upon first convening, the Committee shall acquaint itself with these Procedures.

4.2.7 Initial Determination

The Grievance Committee shall determine on the basis of the Notice of Grievance and any written statement of the cause submitted pursuant to these Procedures whether there are sufficient facts alleged to make it appear that grounds for a grievance proceeding exist, and that a hearing should be held.

If the initial determination is affirmative, the Notice of Initial Determination shall state the date, time, and place the hearing on the grievance shall occur. Once set, it may be extended only by the chair of Grievance Committee for reasons that, in the chair's opinion, are compelling.

If the initial determination is negative, the Notice of Initial Determination shall state the reasons for that negative decision, and there shall be no further proceedings under these Procedures.

The Notice of Initial Determination shall be distributed to the grievant and those listed in these Procedures.

4.2.8 Grievance Committee Procedural Rules

Unless overruled by a majority of the Grievance Committee, rulings of the chair shall be final on all questions except those pertaining to the initial determination and the substance of the finding and recommendations of the Committee which are sent to the President. All other provisions of these Procedures pertaining to the authority of the chair shall be subject to this Section.

The chair may establish such other rules, within the general guidelines of these Procedures, as deemed necessary.

The chair of the Grievance Committee shall arrange for the official tape recording of the hearing. No other recording or transcription of the hearing shall be permitted unless specifically authorized by the Committee chair. Upon request of either party, the chair shall arrange for the parties to be given, as soon as possible after each session of the hearing, a copy of the official tape recording. The University will assume costs associated with the tape recordings.

Two (2) members of the Grievance Committee, one of whom must be the chair, shall constitute a quorum for transcription of the business of the Committee. No member who is absent during any part of the hearing may participate in the preparation of findings and recommendations of the Committee without first listening to the official tape recording of the portion of the hearing conducted in the Committee member's absence.

At the hearing, the grievant shall present evidence, following which other evidence shall be received, as specified in these Procedures. The grievant shall have the burden of persuasion.

Where more than one grievant complaining of a wrong arising out of the same set of facts has a hearing pending, the hearings may be consolidated with the approval of all such grievants and of the Grievance Committee first appointed to hold such hearings. The consolidated hearing shall be conducted by that Grievance Committee.

The chair of the Grievance Committee shall:

- Call witnesses before the Committee as requested by the grievant, the person grieved, and members of the Grievance Committee;
- Maintain an orderly hearing and permit no person to be subjected to abusive treatment. The chair may eject or exclude anyone whose conduct is disorderly.

The grievant and the person grieved shall be permitted to:

- Examine all evidence presented to the Grievance Committee;
- Present evidence available to them and question witnesses.

In addition, witnesses unable to attend, in the opinion of the Grievance Committee, may submit written or taped statements to the Grievance Committee. Such inability shall be found only in cases of serious illness or death of the witness or a family member, or physical absence from the area due to pre-existing plans which cannot be changed. The chair of the Grievance Committee may request the chair of the Faculty Senate to assist in the appearance of witnesses at the hearing.

- Present an oral or written argument, or both, prior to the conclusion of the hearing. The grievant and the person grieved shall be permitted to be represented by any tenured faculty member of the University whom the subject individual may select and

who is willing to serve, except that attorneys admitted to practice law before any state or federal court are excluded from the category of these individuals who may represent the grievant or the person grieved.

Any rights conferred on the parties at the hearings by these Procedures may be exercised by their respective representatives.

At the hearing, the members of the Grievance Committee may ask questions of any witness, of the grievant, or of those persons listed in these Procedures.

At the hearing, the following persons should be present: the Grievance Committee members, the grievant, the person grieved and their respective representatives and the current witness.

Hearings shall be open, unless the grievant or others request that the hearing be closed. Such reasons should be set forth to the chair of the Grievance Committee who will make the determination and the chair's decision shall be final. The usual basis for hearings that are not open is because the subject matter is determined to be one of a sensitive and confidential nature. However, other reasons may be deemed to be valid and appropriate by the chair of the Committee.

Any correspondence, notices, evidence which is exchanged, shall be distributed to the grievant and those listed in these Procedures.

4.2.9 Findings and Recommendations

Following the conclusion of the hearing, the Grievance Committee shall meet in executive session, with all other persons excluded. In this session, the Committee shall prepare its findings of fact and recommendations to the President for settlement or solution of the grievance. Executive sessions of the Grievance Committee shall not be taped.

The Grievance Committee shall make its written report as promptly as possible, but not later than thirty (30) days after the last hearing date, to the President of the Faculty Senate and to the President, with copies to the grievant and to those persons listed in these Procedures. The official recording of the hearing and the Committee's file on the proceedings shall be forwarded to the President at this time.

In its deliberation, the Grievance Committee shall consider no evidence other than written, oral, or taped testimony at the hearing.

4.2.10 Presidential Action

Upon receipt of the report of the Grievance Committee, the President of the University shall review the findings and recommendations of the Grievance Committee and decide upon the action to be taken on the Committee's recommendation.

The President shall send the Notice of Decision promptly to the grievant, to the persons named in these Procedures, and to the Grievance Committee, unless the President returns the matter to the Grievance Committee for clarification or further proceedings as appropriate. In either case, this action shall occur not later than thirty (30) days after receipt of the report. The decisions of the President in each case are final.

4.2.11 Timeliness

It is expected that all procedures will take place in a timely fashion, and that all parties involved shall strive to adhere to the time limits established in these procedures. However, mitigating circumstances may delay a particular action beyond its deadlines, and such a delay should not be construed as a procedural violation, as long as the involved parties are acting in good faith. In any event, it is expected that a final resolution will be reached within twelve (12) months from the date of the Notice of Grievance. The term “days” used throughout these grievance procedures for faculty is defined as university working days or those days that are regularly scheduled for faculty members to be working at the University.

4.3 Duties

4.3.1 Faculty Workload

All faculty members are expected to participate in teaching, research and service activities relevant to the mission of the university, their college or school, their department and their own interests and particular areas of expertise. The typical distribution of time and effort for these activities consists of 60% teaching, 30% research and 10% service activities. (However, other distributions are possible, and even likely.)

1. Application

The policy applies to the following individuals:

- All persons holding tenured, tenure-track and non-tenure track positions who are classified as faculty (instructional, research and public service);
- All persons who, while holding faculty rank, are classified as administrators and perform their administrative duties at the level of academic department or equivalent academic unit, including chairs, assistant chairs, program director, etc.

This policy does not apply to individuals who hold faculty rank but who are assigned to administrative duties outside the department or equivalent academic units, for example, deans, vice presidents, presidents, etc.

2. Teaching

The standard teaching load (where 60% is the assigned effort for teaching) is the equivalent of 12 credit hours per semester. Total course enrollment, number of course preparations, preparations of new courses, and complexity of subject preparations and complexity of subject matter may be considered by the chair and dean in determining credit hour equivalents. Any deviation (adjustment) from the normal load must be approved by the dean of the respective college or school. However, the teaching load is never greater than 15 semester hours.

(The maximum teaching load for faculty during a summer session will normally be defined as teaching no more than nine semester hours.)

Teaching activities include, but are not limited to the following: offering courses at the undergraduate and graduate levels; offering or supervising course related discussion sections of laboratories; supervising independent study by undergraduate and graduate students; supervising internships and practica; directing undergraduate and graduate theses; serving in undergraduate and graduate thesis committees; serving in undergraduate and graduate examining committees; preparing undergraduate and graduate students for examinations; participating in undergraduate and graduate reading groups; developing courses or course materials; and supervising undergraduate and graduate students in their performance of instruction or research; and advising. All of these responsibilities may, and sometimes should, have an effect on the number of hours taught. Teaching load and work load are not synonymous.

Advising activities include, but are not limited to the following: curricular advising of undergraduate and graduate students; undergraduate advising regarding future graduate study; graduate advising regarding future graduate and post-graduate study; and undergraduate and graduate career advising.

3. Research, Scholarship and Creative Activity

Faculty conduct of research, scholarship, and creative activities are all essential to the mission and are encouraged and actively supported by the University; moreover they are required elements to support promotion and tenure decisions.

The typical research expectation shall equate to 30% of total faculty workload. For the purposes of this policy, research, scholarship, and creative activities include, but are not limited to the following: conducting and publishing experiments and investigations; writing and publishing books and articles and multimedia or electronic publications; directing or participating in sponsored research; managing sponsored research; making presentations at professional conferences; preparing research proposals; producing works of art or architecture; presenting recitals and performances; and maintaining disciplinary expertise.

4. Service

Service includes but is not limited to the following: serving as a full- or part-time academic administrator for the university, a college, or a department; service in university, college, and departmental councils, committees and advisory boards; supervising or managing departmental academic programs, personnel, space and budget; providing health care direct or indirect service(s); managing sponsored research; directing a center or institute; service as a reviewer of academic units, programs, administrators, or peers within or outside the university; serving as an officer or committee member in a professional organization; organizing professional conferences or colloquia; and serving as an advisor to public and private organizations at the local, state, national, or international level.

5. Exceptions to Standard Workload Expectations

All faculty are expected to be involved in instruction, research/scholarship and service as previously defined. Recognizing that some faculty will assume new or additional responsibilities in any one of these areas, exceptions to the standard workload may be made. However, the department is responsible for making the necessary adjustments in the total faculty workload so that departmental expectations as determined by the department and dean in each of these areas are fulfilled. These expectations will be derived from student, curricular, and professional development needs, shall be consistent with the resources available to the department, and shall be approved by the dean. Departments shall make the minimum number of exceptions necessary for the fulfillment of its institutional mission. Exceptions to the standard workload may be made based on the following considerations.

- Instruction. Exceptions from the standard instructional load may be based upon a number of factors, including class size (number of preparations); development of new courses; modality of instruction, including distance education; level of instruction; discipline; accreditation requirements; etc.
- Departmental Administration. Assumption of responsibility for the functions of chair, assistant chair, or program director, or for special departmental projects, may require reduction of expectations for service, research/scholarship or instruction. The magnitude of such reduction shall be dependent on the scope of administrative responsibilities and size of the department.
- Externally Funded Research and Service Activities. Assignment of additional time for research or service activities can be supported by external funds, either research or training grants. In these instances, the accompanying reduction of expectations for service or instruction should mirror the replacement of departmental salary support by externally-funded salary support. However, it is noted that external funding is not equally available in all disciplines. Thus, external funding is not a requirement for consideration of weight distributions nor for teaching load consideration. Successful pursuit by faculty of extramural funding sources will normally result in the reallocation of effort devoted to

teaching, research and service activities. *Example: A faculty member awarded fifty percent (50%) salary support under grant and contract agreements with external sponsors allow a revised workload allocation of 30% teaching, 60% research and 10% service.*

- Department Supported Research. (Departmental Research). Assignment of additional time for research activities supported by the department and consequent reduction of expectations for service or instruction should be related to the institution's mission.
- Department Supported Service. Assignment of additional time in areas of service and consequent reduction of expectations for research/scholarship or instruction should be directly related to the duration and the extent of the commitment. For example, individual faculty members may be released from the standard expectation in the areas of research/scholarship or instruction in order to make major professional contributions-e.g., to work in partnership with the public schools or with business or industry.

6. Workload and Faculty Evaluation

University policy requires that all faculty members receive an annual evaluation with specific references to the areas of teaching, research and service. The allocation of workload and the weighting of the components for evaluation will be based on the guidelines as stated above.

The institutional reward structure will take cognizance of the workload assignment for each faculty member. Colleges shall develop procedures for the systematic review of faculty, recognize outstanding performance and establish consequences for failure to fulfill expectations.

The primary means for ensuring proper accountability of individual faculty is after-the-fact reporting of actual departmental performance in comparison with the expectations previously approved by the dean of the college/school. Each dean shall submit an after-the-fact accountability report annually to the Senior Vice President for Academic Affairs/Vice President for Health Sciences as requested.

The workload performance of each faculty member will be considered as part of the annual review of faculty conducted by the departments and should be a major factor in all faculty promotion, tenure and merit-pay decisions. Workload allocations for each individual faculty member will be developed and agreed to in writing by the chair and faculty member concurrent with the beginning of the academic year. The workload allocation may be renegotiated during the year if circumstances so dictate.

4.3.2 Student Advising

Faculty members will be asked to serve as student advisors, so they should be familiar with current University requirements, policies, and procedures used during the academic year and especially during registration periods. Advisors should enforce course prerequisites.

Each student in the University will be assigned a faculty advisor as a matter of record. Selection of faculty advisors and assignment of students to advisors will be left to the judgment of the individual colleges. Faculty advising will be limited to guidance through the curriculum and miscellaneous professional counseling. Although faculty advising should not extend to personal counseling, each faculty member is expected to be knowledgeable to direct students to the appropriate offices where they can be helped with personal problems (financial, psychological, etc.). Faculty members are expected to become familiar with current University requirements, policies, and procedures with respect to advising.

4.3.3 Office Hours

Faculty members will post and keep office hours each semester and, as a minimum, indicate six hours a week for conferences with interested students. With respect to evening classes (those scheduled after 4 p.m.) and weekend classes, faculty members teaching those courses will make suitable and adequate arrangements to carry out the advising function by scheduling office hours accordingly. A common practice is to state that, in addition to regularly scheduled office hours, appointments may be arranged at other times.

4.3.4 Registration

Faculty members are expected to perform necessary duties during registration periods each semester. Assignments will be made by departmental heads and deans.

4.3.5 Commencement Attendance

Each faculty member is expected to attend all commencement exercises in full academic regalia unless specifically excused by the respective academic dean.

4.3.6 Absence Without Notice

A faculty member who fails to perform the duties of his/her faculty position and who fails to communicate with his/her department chair for a period of two weeks is considered to have voluntarily resigned his/her position without proper notice.

4.4 Consulting

The University policy on Consulting Activities under Contracts and Grants and forms on Conflict of Commitment are available on the Vice President of Research website: <http://www.southalabama.edu/vpresearch/index.html>.

Consulting relationships between University faculty and outside entities can make a positive contribution to the University environment by providing avenues to test and exchange information and ideas. A faculty member will be permitted to serve as a consultant, with or without pay, the equivalent of one day per week during the academic year or thirty-six days per academic year. If the faculty member chooses to spread the thirty-six days per year over the calendar year, it would represent three days per month, with a maximum of thirty-six days during the calendar year.

If a faculty member chooses full-time employment at the University for the Summer Semester, the total of thirty-six days for consulting services is applied to the calendar year. If a faculty member who is appointed on a 9-month basis chooses to increase the number of days above thirty-six, arrangements can be made for reduction in the summer teaching load. If consultation is to be funded from a grant or contract account administered by the University of South Alabama, see **Compensation Under Externally Funded Grants and Contracts** (section 7.2.6).

In any outside consulting arrangement, faculty should ensure that there is no conflict with University obligations by disclosing each activity prior to engagement. Each and every time an employee does consulting outside the University with a new entity, the employee is required to complete and file an *External Professional Activities for Pay* form with his/her department chair or supervisor. Should an excess time commitment beyond the consulting time allowed by the University appear likely, the employee is required to discuss the conflict of commitment with his/her department chair or supervisor and develop an acceptable plan of action. The forms will be kept in departmental personnel files.

Clauses in all consulting agreements (including but not limited to clauses on intellectual property, publication, and confidentiality) must be consistent with the policies of the University. The consulting agreement should acknowledge the faculty member's primary obligation to and employment at the University. Any consulting work done is personal to the faculty member and not related to the University. Neither the faculty member nor the company retaining the faculty member as a consultant may use the name of the University in connection with services rendered or results obtained in the course of the consulting relationship.

4.5 Professional Ethics

The University subscribes to the AAUP Statement on Professional Ethics, as printed below:

1. The professor, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities placed upon him/her. His/her primary responsibility to his/her subject is to seek and to state the truth as he/she sees it. To this end, he/she devotes his/her energies to developing and improving scholarly competence. He/she accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge.

He/she practices intellectual honesty. Although he/she may follow subsidiary interests, these interests must never seriously hamper or compromise his/her freedom of inquiry.

2. As a teacher, the professor encourages the free pursuit of learning in his/her students. He/she holds before them the best scholarly standards of his/her discipline. He/she demonstrates respect for the student as an individual, and adheres to his/her proper role as intellectual guide and counselor. He/she makes every reasonable effort to foster honest academic conduct and to assure that his/her evaluation of the students reflects their true merits. He/she respects the confidential nature of the relationship between professor and student. He/she avoids any exploitation of students for his/her private advantage and acknowledges significant assistance from them. He/she protects their academic freedom.
3. As a colleague, the professor has obligations that derive from common membership in the community of scholars. He/she respects and defends the free inquiry of his/her associates. In the exchange of criticism and ideas he/she shows due respect for the opinion of others. He/she acknowledges his/her academic debts and strives to be objective in his/her professional judgment of colleagues. He/she accepts his/her share of faculty responsibilities for the governance of his/her institution.
4. As a member of his/her institution, the professor seeks above all to be an effective teacher and scholar. Although he/she observes the stated regulations of the institution, provided they do not contravene academic freedom, he/she maintains his/her right to criticize and seek revision. He/she determines the amount and character of the work he/she does outside his/her institution with due regard to his or her paramount responsibilities within it. When considering the interruption or termination of his/her service, he/she recognizes the effect of his/her decision upon the program of the institution and gives due notice of his/her intentions.
5. As a member of the community, the professor has the rights and obligations of any citizen. He/she measures the urgency of these obligations of any citizen; measures the urgency of these obligations in the light of individual responsibilities to his/her subject, to students, to profession, and to institution. When he/she speaks or acts as a private person, he/she avoids creating the impression that he/she speaks or acts for his/her college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the professor has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.
6. The Academic Freedom and Ethics Committee on Professional Policies Council is responsible for discussing privately and confidentially with a faculty member the ethics of his/her behavior when the Committee concludes that the above ethical standards are being transgressed. Faculty and administrators may confidentially invite the attention of the Committee to the practices of a particular faculty member.

4.6 Political Activity

Faculty may not participate in any political activity while acting in the status of a representative of the University.

4.6.1 Policy on Faculty and Staff Interactions with State, Local and Federal Officials and Agencies

Policy Statement

The University of South Alabama has established policies, procedures, and guidelines pertaining to contacts being made on behalf of the University with local, state, and federal government officials and agencies. These policies are designed to ensure compliance with legal requirements, to enhance the effectiveness of governmental contact, and to facilitate coordination and communication within the University.

The Office of Governmental Relations conducts and oversees all University of South Alabama governmental relations and activities with local, state, and federal officials and agencies. Only individuals authorized by the Executive Director of Governmental Relations are authorized to represent the University's interests with these entities.

Meetings and Appearances Representing the University

Faculty and staff members planning meetings with or appearances before governmental officials or governmental bodies for the purpose of representing the University shall be approved by the Office of Governmental Relations. The purpose of this guideline is to ensure that the University's position is communicated accurately and to facilitate a coordinated effort. This guideline applies to all instances when the meeting with or appearance before governmental officials or governmental bodies is contingent upon the individual's affiliation with the University.

Meetings and Appearances Representing Personal Interest (including professional organizations)

University faculty and staff members representing a personal interest (including professional organizations) should make it clear that the contact is not being made on behalf of the University. Reference to affiliation with the University of South Alabama should be made only as an aid to identify the individual. Notifying the Office of Governmental Relations of such contact is recommended.

Correspondence

It is useful for governmental officials to receive official University publications and periodicals. However, it is important to coordinate such distribution to avoid duplication and other problems that may result from overloading officials with such materials.

Therefore, the distribution of materials to the officials shall be authorized by the Office of Governmental Relations.

Correspondence with governmental officials by members of the faculty and staff is often necessary. If the correspondence is of an official nature it should be approved by the Office of Governmental Relation. If the correspondence is of an unofficial nature use of University stationary should be avoided.

Response to Requests for Information from Governmental Officials

When requests for information, reports and other data related to the University are made to members of the faculty and staff, responses to such requests must be approved by the Office of Governmental Relations prior to transmission.

Invitations to Local, State and Federal Officials

Invitations to governmental officials and their staff to participate in University functions or to visit the campus are often necessary and advantageous. Invitations extended to governmental officials or staff members should be coordinated with the Office of Governmental Relations.

Requests for Funding to Local, State, and Federal Governments and Agencies

To ensure compliance with local, state, and federal laws, it is imperative that a clear process for seeking funds from governmental entities be established. While a specific request may originate at the department, division, or college level, all requests must be reviewed and managed from a centralized perspective, and in the context of the University's overall budget needs and requirements. University faculty and staff members seeking government funding must receive approval from their Dean and/or Vice President, who will coordinate with the Office of Governmental Relations and/or the Office of the Vice President for Research, as appropriate. Final approval must be granted by the President before a request for funding may proceed.

4.7 Faculty Ombudsperson

Role:

The University of South Alabama Faculty Ombudsperson is an independent, confidential and impartial resource available to the faculty to facilitate cooperation and consensus through education and mediation. The ombudsperson is a designated neutral or impartial dispute resolution practitioner whose major function is to provide confidential and informal assistance to faculty of the institution. Serving as a designated neutral, the Ombudsperson is not an advocate for any individual, the University, or any academic unit; rather, he/she serves as an advocate for fairness and acts as a source of information and referral, aids in answering questions, and assists in the resolution of concerns and critical situations. More

specifically, the ombudsperson engenders awareness and skill development in the areas of conflict resolution, communication, team-building, and civility.

The ombudsperson endeavors to assist all tenured, tenure-track, non-tenure track, clinical, research, and annual appointment faculty members in the resolution of concerns and complaints with the goal of promoting alternatives to adversarial processes. Activities of the ombudsperson do not supplant the University's existing formal Faculty Grievance, Equal Opportunity Employment, Sexual Harassment Resolution, or other existing complaint resolution processes. Staff and student conflicts should be directed to the Department of Human Resources and the Division of Student Affairs respectively.

Responsibilities:

Dispute Resolution/Consultation and Referral:

- Provide impartial and – to the extent allowed by law and University policy - confidential consultation to members of the faculty who consider themselves to have been aggrieved or are concerned about an issue
- Remain independent, neutral, and impartial, and exercise good judgment
- Assist inquirers in interpreting policies and procedures, seeking input from appropriate offices when needed
- Provide assistance to inquirers by clarifying issues and generating options for resolution
- Facilitate the inquirer's assessment of the pros and cons of possible options
- If direct action by the ombudsperson may be an appropriate option, obtain the inquirer's agreement and permission before proceeding
- If necessary, and while maintaining allowable confidentiality, conduct appropriate informal fact-finding in order to better understand an issue from all perspectives
- Consult with faculty and administrators to develop cooperative strategies for complaint resolution
- With the inquirer's permission, consult with all parties to clarify and analyze problems, focus discussions, and develop a mutually-satisfactory process for resolution
- When appropriate, facilitate group meetings, use shuttle diplomacy, or negotiation skills to facilitate communication among parties in conflict
- When legal/disciplinary issues arise, the ombudsperson refers the case to the appropriate unit of the University.

Policy Analysis and Feedback:

- Serve as a campus resource for officials in formulating or modifying policy and procedures
- Based on anonymous aggregate data, prepare reports for the Faculty Senate and

University administration that discuss trends in the reporting of grievances and concerns, identify patterns or problem areas in policies and practices, and recommend revisions and improvements, where appropriate

- Act as a liaison between individuals and groups and the administrative structure, serving as a communicator or informal facilitator, as appropriate
- Function as a sensor within the University community to identify problems or trends that affect the faculty
- Provide early warning of new areas of organizational concern, upward feedback, and critical analysis of systemic need for improvement, and make recommendations for systemic changes

Community Outreach and Education:

- The ombudsperson is responsible for on-going education and communication about the office's role to all potential inquirers as well as to the University's leadership
- Design and conduct training programs for the campus community in dispute/conflict resolution, negotiation skills and theory, civility, and related topics

Confidentiality:

To the extent permitted by law and any policy of the University, the ombudsperson will endeavor to protect the confidentiality and privacy of those seeking assistance. Unless required by law or where serious threat to life or property exists, neither the identity of those who contact the ombudsperson nor the substance of their concerns will be shared, nor will any specific action related to the individual's concerns be taken without the consent of the individual. Within the parameters previously discussed, all information provided to the ombudsperson will remain confidential and will be maintained in a secure location for use only by the ombudsperson. **Notification of the ombudsperson will not constitute notice to the University.** The ombudsperson will provide the individual with the contact information of the appropriate University office with whom the individual may make a formal report or grievance.

Selection:

The Faculty Ombudsperson is selected by the President of the University in consultation with the Faculty Senate.

Reporting:

The Ombudsperson submits to the Faculty Senate and to the University administration at least annually a report that discusses trends in the reporting of concerns, identifies patterns or problem areas in policy and practices, and recommends revisions and improvements, as appropriate.

5.0 FACULTY COMPENSATION, BENEFITS, AND SUPPORT SERVICES

5.1 Compensation

5.1.1 Contract Year

The contract year for faculty on a 9-month basis begins on August 15th and ends May 15th.

5.1.2 Pay Schedule for Continuing Full-Time Faculty

Continuing faculty will receive their checks on the first working day of each month. Faculty terminating at the end of Fall Semester will receive their final payment on their contract in the paycheck received in March in an amount equal to one-half of regular monthly pay. The total pay received by 9-month faculty terminating at the end of Fall Semester will be equivalent to one-half of the contract amount for the academic year. Faculty terminating at the end of Spring Semester will receive their final paycheck on the first working day in September in an amount equal to one-half of regular monthly pay.

5.1.3 Pay Schedule for New Full-Time Faculty

Faculty who begin employment in Fall Semester will receive one-half of a monthly installment on the first paycheck received in September (payday is always the first normal working day in the month). Beginning in October, and continuing through the following September, new faculty will receive one-twelfth of their academic contract.

Faculty who begin employment in Spring Semester will receive monthly payments over an eight-month period beginning February 1 and ending with one-half month paid on September 1. Pay will be calculated by dividing the total pay for the semester by seven and one-half months. For example, if a faculty member is hired beginning Spring Semester at a rate of \$30,000 for the semester, he/she will receive \$4,000 in the months of February through August. In September, a final payment of \$2,000 will be made to the faculty member.

5.1.4 Pay Schedule for Part-Time Faculty

Fall Semester - First normal working day in October, November, December and January.

Spring Semester - First normal working day in February, March, April, and May.

Summer Semester - First normal working day in July, August and September.

5.1.5 Pay Schedule for Terminating Faculty

Faculty terminating at the end of Fall Semester will receive the final payment on their contract in the paycheck received in March in an amount equal to one-half of their monthly

pay. The total pay received by faculty terminating Fall Semester will be equivalent to one-half of the contract amount for the academic year.

Faculty terminating at the end of Spring Semester will receive their final paycheck in September in an amount equal to one-half of their monthly pay.

5.1.6 Summer Pay Schedule and Compensation Rate

Summer pay will be issued in three installments on the first normal working day in July, August and September.

Compensation for instruction in a semester summer school format will be at a rate of 3.125% of the nine-month base salary per semester credit hour taught.

Faculty working on externally funded sponsored activities during Summer Semester may earn up to a maximum of one-third of their nine-month base salary for working three (3) calendar months.

5.1.7 Retroactive Merit Raises

If retroactive merit raises are approved and given in the academic year, all full-time faculty are entitled to be considered for retroactive merit pay raises, regardless of future employment status.

5.2 Group Insurance Plans

Regular faculty who work half-time or more are eligible for coverage under the University's group insurance plans. The insurance becomes effective on the first of the month coincident with or following the hire date. The cost of health insurance is shared by the University and the faculty member; premiums for basic life insurance and disability insurance are paid by the University.

5.2.1 Group Health and Dental Program

A comprehensive health and dental plan is made available to faculty and their eligible dependents with a 270 day waiting period before pre-existing conditions are covered. Certificates of creditable coverage from a previous health plan may be presented within 30 days of employment to reduce or eliminate the waiting period for pre-existing medical conditions. The faculty member's portion of the cost of insurance is paid by payroll deduction and, upon request, may be paid on a pre-tax basis, reducing taxable income for federal, state, and social security taxes.

5.2.2 Group Life Insurance

The University's group life insurance plan offers basic and optional coverage. Premiums for basic coverage are paid by the University providing equal amounts of term insurance and accidental death and dismemberment coverage on the faculty member's life plus \$5,000 of term insurance coverage for spouse and eligible dependents. The amount of insurance purchased on the faculty member's life is determined by base pay, up to a maximum of \$100,000.

Optional coverage allows the faculty member to request additional term insurance equal to once, twice or three times the amount of basic term insurance purchased by the University. If the request for optional coverage is approved by the insurance company, premiums are paid by payroll deduction.

5.2.3 Long-Term Disability

The University pays the premium for long-term disability insurance coverage which pays a wage replacement benefit from the 91st day of continuous disability to employees who qualify. Benefits may be paid for total or partial disability. The wage replacement benefit for total disability is 66.67% of base pay reduced by income paid by social security, Teacher's Retirement System, other group disability, or salary continuation. The maximum partial disability benefit is 85% of base pay at the time the disability occurred. The maximum payment period is determined by age at the time the disability occurred.

5.3 Retirement Plans

5.3.1 Teachers' Retirement System of Alabama (Participation Required)

To receive retirement income benefits a faculty member must be vested (have ten years of full time service credit with Teachers' Retirement) and be 60 years old. If a member has 25 or more years of service credit, there is no age requirement to receive TRS retirement income benefits. There are both employee and employer contributions to the retirement system. Beginning October 1, 2011, the employee contribution is 7.25% of University compensation, and the employer contribution is 10% of University compensation. Beginning October 1, 2012, the employee contribution will increase to 7.5% of University compensation. Additional eligible service credit may be purchased in a lump sum paid by the member to Teachers' Retirement for military service and/or for service from another state retirement plan.

Military Service: Up to four years of active duty military service may be purchased provided the purchase is made within 12 months of enrollment in the Teachers' Retirement System. All service, up to four (4) years in one-year increments, must be purchased in a lump sum.

If military service credit is not bought within the first year of membership, the next opportunity is after the member becomes vested by participation. The cost for purchasing

credit for military service is the full actuarial cost. The full actuarial cost is based on the member's life expectancy, salary, and the earliest date eligible to begin receiving retirement benefits. Credit may be purchased in one-year increments.

Out-of-State-Service: Up to 10 years of previous service under another state plan may be purchased and applied to a member's record. Ten years of contributing service in the Teachers' Retirement System of Alabama is required to be eligible to make such a purchase. The cost for purchasing credit for out-of-state public service is the full actuarial cost. The purchase must be completed prior to the member's retirement and may be purchased in one-year increments.

5.3.2 Social Security (Participation Required)

Social Security provides protection in the form of retirement benefits, disability income, survivor income and Medicare insurance. The employee contributes the amount required by the Social Security Program, and the University contributes a matching amount.

5.3.3 Tax-Sheltered Annuities (Participation Optional)

Faculty members may reduce their federal and state taxable income by voluntarily contributing to approved 403(b) and/or 457 tax-sheltered retirement plans with TIAA-CREF and the Retirement Systems of Alabama.

The University also provides the TIAA-CREF/University Matching Program for eligible faculty participating prior to October 1, 2009. In this program, eligible faculty members may elect to reduce their taxable income by contributing to the TIAA-CREF/University Matching Program. Eligible faculty who elected not to participate in the plan prior to October 1, 2009 and faculty hired on or after October 1, 2009 cannot participate in the program. For more information contact Human Resources.

5.4 Leave Policies

5.4.1 Faculty Sick Leave

1. It is the policy of the University of South Alabama to grant reasonable time off to benefits-eligible faculty for sick leave. For certain instances of absences, for illness, the Family and Medical Leave Policy (FMLP) found in section **5.4.2** will be applicable. The Office of Human Resources is available to assist in such determinations. The intent of this policy is to provide faculty with sick leave benefits:
 - When they are unable to perform work duties because of illness or injury.
 - When they must obtain scheduled health related professional services.

- When they must be absent to care for a seriously ill member of the immediate family for a time not to exceed three days.
 - Immediate family, for sick leave purposes, is defined to include the following who live in the same household: spouse, son, daughter, mother, and father. However, if the absence requires additional leave and meets the requirements of the FMLP, the Family and Medical Leave Policy will apply.
 - When they are a member of a household which has been quarantined by a physician or medical authority because of the presence of a contagious disease.
2. Sick leave is accrued when a faculty member is in active pay status. Active pay status is defined to include, but is not limited to:

Normal work hours
 Sabbatical leave
 Paid vacation
 Paid sick leave
 Paid jury duty
 Other paid leave

- Beginning October 1, 1999, eligible faculty accrue sick leave benefits at the rate of one (1) day per month for a total of nine days per year for 9-month faculty and a total of twelve days per year for 12-month faculty. Unused sick leave will accumulate from year-to-year.
- Benefits-eligible faculty may convert accrued sick leave to membership service credit in the Teachers Retirement System of Alabama for the purpose of applying for service retirement.
- Faculty may receive credit for sick leave accrued while employed at another agency or institution that participates in the Retirement Systems of Alabama, provided that they resigned from that position to accept a position at the University of South Alabama. Requests for transfer (credit) may be made, in writing, to the Office of Human Resources, and should include a notarized statement from the previous institution's payroll/accounting department verifying the accrued sick leave balance.
- In addition to the accumulating sick leave that will be provided prospectively under this policy, full-time faculty appointed prior to October 1, 1999, will have individual sick leave, based upon years of previous service, available for their personal use in the event of illness or injury. Such individual sick leave will be calculated at the rate of six (6) days per year of previous service for faculty on nine-month appointments and eight (8) days per year for faculty on 12-month

appointments. Pursuant to state law and Teachers Retirement System regulations, such sick leave based upon previous service cannot be applied retroactively toward retirement credit but may be used for injury or illness prior to using accumulating sick leave.

3. Eligibility for Sick Leave Benefits:

- All benefits-eligible faculty accrue sick leave benefits from their service date.
- Part-time faculty are not eligible to accrue sick leave benefits.

4. Faculty are to notify their department chair at the earliest time possible when they will be absent from work due to illness or injury.

5. Department chairs have the responsibility to guarantee that sick leave is being used for its legitimate purpose and may request documentation as deemed appropriate.

6. Abuse of sick leave benefits is grounds for disciplinary action.

7. The department chair will record absences for sick leave on the faculty member's Monthly Employment Certification and Leave Accounting Report.

8. Employees who resign, or who are terminated for any reason, do not receive payment for any unused sick leave.

Original policy effective date: 10/1/99

Revised to include interpretative guidelines: 04/1/02

5.4.2 Family and Medical Leave

The Family Medical Leave policy at the University of South Alabama is governed by the Family Medical Leave Act (FMLA) of 1993 and the National Defense Authorization Act (NDAA) of 2008.

The University recognizes that faculty members may find it necessary to take leave from their jobs for a limited period of time either to address certain family responsibilities as defined below or their own serious health conditions. The University formally establishes its family and medical leave policy for the benefit of eligible faculty members under the terms and conditions described in this handbook. The full FMLA Policy and Procedures may be viewed at <http://www.southalabama.edu/hr/documents/healthplanhandbook.pdf>

5.4.3 Leaves of Absence Without Pay

Leaves of absence without pay may be granted for a period of one year or less and may be extended for an additional period *not to exceed 2 years*. All leaves and extensions of leaves

must be cleared with the appropriate department chair and dean and approved by the Senior Vice President for Academic Affairs/Vice President for Health Sciences and by the President.

5.4.4 Vacation Leave for 12-month

Effective Date: October 1, 2000

Revised: 9/30/03; 1/1/12

1. Regular, benefits eligible faculty accrue vacation at the rate of 1.67 days per month of service, a maximum of 20 days annually (based on 1.0 FTE). Regular faculty with assignment(s) below .50 FTE and temporary faculty do not accrue vacation.
2. The maximum amount of vacation that an eligible faculty member may carry forward each fiscal year is up to two times the annual rate (or 40 days).
3. Excess accrued vacation will be converted to sick leave at the end of the fiscal year.
4. Vacation time may not be borrowed in advance. Vacation during an official paid holiday will not be charged as a vacation day.
5. Because accrued paid sick leave may not exceed six weeks during maternity leave, except in the case of medical complications, accrued vacation may be used for the remaining leave, if available.
6. Prior authorization for vacation leave must be obtained through the normal supervisory channels, i.e., departmental chairs and deans using the form *Request for Professional Leave, Travel or Vacation*. Vacation may not be taken during times that conflict with teaching, clinical, or administrative responsibilities including orientation and advising.
7. Accurate reporting of vacation and/or sick leave utilization is the responsibility of both the employee and supervisor. It is important that timekeeping and/or leave utilization records be carefully reviewed and accurately reported for all employees.
8. Upon separation of employment, eligible faculty accruing vacation before January 1, 2012, may receive vacation pay for unused accrued vacation hours up to two times the annual accrual rate. Faculty who begin accruing vacation on or after January 1, 2012, are not eligible for payment of unused accrued vacation hours.

5.4.5 Military Leave

The University complies with the Uniform Services Employment and Reemployment act of 1994 (USERRA) and applicable state laws applying to military leave. In accordance with USERRA and Alabama Code section 31.12-5 (2002), faculty members who perform service in the uniformed services (as defined by USERRA) are entitled to a military leave of absence

from the University positions, subject to the limitations and restrictions set forth in federal and state laws and University policy.

Faculty members in an active employment status who are ordered to active duty will receive full pay for a maximum of 168 hours per calendar year. These 168 hours per calendar year include weekend drills as well as annual training and any other type of military duty. Faculty members must provide a copy of their orders or other satisfactory documentation of their department chair or other appropriate academic unit official as soon as received unless precluded by military necessity.

Except as noted below concerning additional military service covered by Alabama Code section 31-12-1, et seq., after the first 168 hours of military leave per calendar year, any additional military leave will be without pay or may be charged to vacation or paid time off (as applicable) at the discretion of the faculty member, subject to approval by the academic unit.

Regular employees of the university who are drafted into military service of the United States or volunteer to serve in the United States Army, Navy, Marine Corps, Air Force, or Coast Guard will be granted a military leave as required by law, without pay. Employees serving in these capacities must return to work within 90 days of completing military service.

Alabama law (Alabama Code section 31-12-1, et seq., "the Act") extends protections and rights under the Soldiers' and Sailors' Civil Relief Act and the USERRA to active members of the Alabama National Guard and other military reserve forces called to duty in time of war, armed conflict, or emergencies proclaimed by the Governor of Alabama or the President of the United States, and called or ordered to state active duty for a period of 30 consecutive days or more to federally funded duty, other than training. This law does not apply to normal National Guard and reserve weekend drills, annual training, and required schools.

As defined by the Act, employees are eligible for the difference in pay between the lower active military duty pay and the higher public salary for the duration of the active military service, if applicable. This provision applies only to employees called into active service during the war on terrorism, which commenced on September 11, 2001.

Health insurance benefits may be continued at the election of the faculty member called to active military service. The Human Resources Department can provide detailed information concerning continuation of health insurance benefits.

Any faculty member serving in the active military service during the war on terrorism, which commenced on September 11, 2001, shall continue to be considered an active participant in the Teachers' Retirement Systems of Alabama (as applicable) throughout such service.

5.4.6 Professional Leave

Permission to be absent from campus or other approved work site for one-half day or more to engage in professional activity during regular periods of contracted employment, may be granted under professional leave.

5.5 Sabbatical Policy

The University of South Alabama encourages eligible faculty to apply for sabbatical leaves for the purposes of professional growth, development, or renewal. Such activities would include planned travel, study, foreign education, research, writing, or other professional experience that promises to enhance their professional skills and standing and, by extension, their usefulness to the University.

1. Eligibility

Full-time tenured faculty who have completed six or more years of continuous service at the University of South Alabama without having received leave with pay, or who have served for six years following the completion of a previous leave with pay, are eligible to apply for sabbatical leave. In exceptional cases, clinical or other non-tenure-track faculty with at least six years of continuous service may also apply for sabbatical leave, pending the approval of the appropriate chair and division head.

The University will endeavor to approve proposals by eligible faculty that are recommended by the chair, college committee and dean. Decisions must include consideration of the impact on the academic program and budgetary constraints in a given year.

2. Review and Approval

Proposals are submitted by the faculty member to the department chair. The chair will submit the proposal with his/her recommendation - either favorable or unfavorable - with accompanying rationale and impact statement on the teaching program to the dean. If more than one proposal is submitted from a particular department, the chair will rank the proposals prior to forwarding to the dean.

The dean will obtain a review and recommendation with rationales and rankings of proposals from the college committee. Similarly, the dean will submit recommendations - either favorable or unfavorable - with rationales, academic program impact statements, and rankings for all proposals to the Senior Vice President for Academic Affairs/Vice President for Health Sciences who will make recommendations to the President. The President will make recommendations to the board of trustees for a final decision.

3. Compensation

Sabbatical recipients may take a leave for one semester at full salary or for two semesters at half-salary. In extraordinary cases, leaves may be granted for less than a full semester with full pay, subject to the approval of the appropriate division head and the Senior Vice President for Academic Affairs/Vice President for Health Sciences. Although external grants or other outside funding are permitted subject to standard University regulations that apply to all faculty, the compensation for the period of the leave should not be greater than the total University salary would have been, plus a reasonable allowance for relocating and meeting the costs of living in the new location. The University is not responsible for providing travel or other living expenses incurred by the recipient.

4. Benefits and Credited Service

Faculty on sabbatical are eligible for salary increases and promotions as they would be were they not on sabbatical. They will receive credit for time in rank for promotion. All fringe benefits due the recipient will continue in full force during the leave.

5. Replacements and Deferrals

Sabbatical leaves normally will be financed through departmental and divisional budgets. The University will make every effort to insure that such leaves do not unduly burden the recipient's colleagues or affect course offerings or other instructional needs. To the extent that it is feasible to do so, the University encourages departments to replace faculty who choose to take a leave of two semesters at half-pay with qualified temporary appointments. Any salary relinquished by sabbatical recipients should be made available to compensate temporary replacements.

Sabbatical recipients may for legitimate reasons defer an approved sabbatical leave for up to one year subject to budgetary limitations in the following year. In the event that a sabbatical recipient is asked by his or her chair, division head, or the Senior Vice President for Academic Affairs/Vice President for Health Sciences to defer an approved leave, and does so, that leave will be honored by the University in the following year. In the event that a sabbatical recipient is asked by his or her chair, division head, or the Senior Vice President for Academic Affairs/Vice President for Health Sciences to defer an approved leave, the recipient will be eligible to apply for a subsequent award following five years of full-time service after the end of the leave, rather than six.

6. Responsibilities

Sabbatical recipients must return to the University for at least one academic year following the leave, or they must reimburse the University for all salary and benefits

received from the University while on sabbatical. Recipients are to submit a report summarizing their activities and achievements during the sabbatical no later than the end of the first semester following their return from leave.

7. Schedule

May 1	-	Call for proposals (reiterated September 1)
September 15	-	Deadline for submitting proposals to the department chair or division head
	-	College or division sabbatical committees appointed
October 1	-	Proposal with chair's comments due in dean's or director's office and submitted to the college or division sabbatical committee
October 15	-	College committee submits recommendations with rationales and rankings to the dean
November 1	-	College/division recommendations due in the Senior Vice President for Academic Affairs'/Vice President for Health Sciences' office
November 15	-	Senior Vice President for Academic Affairs/Vice President for Health Sciences makes recommendation to the President
November 30	-	President makes recommendations to the Board of Trustees
December Board Mtg.	-	Trustees act on President's recommendations and applicants Receive written notification

8. Proposal Guidelines

The sabbatical proposal should include the following:

- A brief curriculum vita
- An abstract
- A narrative statement (5-10 pages)
- Supporting documents (e.g., references, letters from grant agencies)

The narrative should explain (in non-technical language) how the leave will be used, the nature of the proposed activity or project, previous work or preparation, and the expected outcome. It should address specifically how the activity or project will contribute to the professional development of the applicant.

9. Impact Statement

Chairs, deans and/or directors will submit a statement assessing the impact of each sabbatical leave requested and explaining the steps proposed to mitigate any perceived adverse impact on the teaching, research or service mission of the department, college or division. Normally, any lapsed salary of sabbatical recipients

should remain within the college or division and be available to supplement the salary of temporary replacements for those who take a full year's leave.

10. Committees

College or division committees should be appointed by the appropriate dean or director by September 15 and convene in early October. Committees should consist of three or more tenured faculty members and should be broadly representative of the college or division as a whole. Committees should be composed in accordance with University regulations. Committee recommendations should be presented to the dean/director before OCTOBER 15. The dean/director should send his/her recommendations to the Senior Vice President for Academic Affairs/Vice President for Health Sciences by NOVEMBER 1.

11. Final Reports

The sabbatical recipient must submit a report detailing his or her activities and accomplishments during the sabbatical leave to his or her chair and dean, and to the Senior Vice President for Academic Affairs/Vice President for Health Sciences. The report should be submitted no later than the end of the first academic term during which the recipient resumes his or her University duties. The report should be used in part or in whole as the basis of the faculty member's annual merit evaluation.

5.6 Tuition Reimbursement/Transcript Waiver

Regular full-time faculty who have completed six months of employment at USA prior to the last day of regular registration are eligible to receive a tuition reimbursement. The courses must be taken at the University of South Alabama, and admission to the University through the Office of Admissions is required. To be eligible to receive a tuition reimbursement, the faculty member must receive a minimum grade of "C" in each course taken while classified as an undergraduate or graduate student. Audited courses are not eligible for reimbursement.

Faculty members will be required to pay all tuition and fees at the time of registration.

Tuition reimbursement, also, is available to the spouses and unmarried dependent children of faculty members who are eligible for the educational benefit. Qualified individuals must receive a minimum grade of "D" for undergraduate courses and "C" for graduate courses.

For tuition reimbursement purposes, eligible dependents are defined as follows:

- Spouse
- Unmarried children under 25 years of age at the time of registration.

The term "children" is defined as follows:

- The faculty member's own or legally adopted children
- Step-children, foster children, and other children who are legal dependents of the employee, and who are unmarried and under the age of 25

In accordance with current law, all reimbursement for spouses and eligible dependents classified as graduate students are subject to federal and state income tax.

A regular, full-time faculty member qualifies for the Educational Benefit Program as an employee and may not file for reimbursement as a spouse or dependent. If both parents are employed by the University, only one may receive tuition reimbursement for their dependent children.

Following completion of the course(s), a tuition reimbursement form must be completed and submitted to the faculty member's department chair for processing along with a copy of the final grade report.

Current Tuition Reimbursement policy and reimbursement forms may be obtained at the Human Resources Office or at the Human Resources website, <http://www.southalabama.edu/hr/>.

Full-time faculty may enroll in courses and waive the transcript requirement by completing the transcript waiver form and admission application and submitting the with the \$35.00 processing fee to the Office of Admissions by the published deadlines.

5.7 Support Services

5.7.1 Bookstore Facilities

The University Bookstore serves as a central supply storeroom for the University and is the recommended source for all office supplies. Whenever possible, departments should purchase their supplies from the Bookstore. On campus delivery is provided at no cost.

5.7.2 Campus Mail and Email

The campus Post Office is a full-service facility and delivers official University mail from University facility to another without charge. Email is available to all faculty and should be used only for official University business.

5.7.3 Computer Center

Faculty members may request computer assistance by contacting the University Computer Center.

5.7.4 Credit Union

All employees and their dependents are eligible for membership in the South Alabama Federal Credit Union located at 103 Hillcrest Road, Mobile, AL 36608, (251) 706-0255.

5.7.5 Duplicating Services

The Office of Publications provides duplicating and printing services to all areas of the University.

5.7.6 Food Service

The University operates a full-service dining facility near the residence halls, a food court in the Student Center, and limited dining options in other campus locations. Aramark is the designated provider for all catering needs on campus.

<http://www.campusdish.com/en-US/CSS/usouthal>

5.7.7 Identification Cards

Faculty and staff identification cards are obtained from the Office of Human Resources (USA Technology & Research Park, Bldg III). Cards are renewable every two years.

5.7.8 Office Facilities

All faculty members will be provided adequate office space.

5.7.9 Parking Permits

Each employee of the University who uses a car on campus must have a visible parking permit on the car. Permits and parking regulations may be obtained for a nominal fee with a current valid ID card from the Student Accounting (MH 1300). Designated blue-line parking areas are well-defined in each parking area of the campus for faculty and staff.

<http://www.southalabama.edu/parkingservices/forms.html>

5.7.10 Recreational Facilities

The University Student Recreational Center is available for use by employees and students. A monthly membership fee, payable by payroll deduction, is charged for employees and their families. Additional information is available at the Recreation Center website,

<http://www.southalabama.edu/campusrec/>.

5.7.11 Telephone

University telephones are for official University business only. Use of University telephones for personal business is strictly prohibited.

6.0 ACADEMIC POLICY & PROCEDURES AND FACULTY INSTRUCTIONAL GUIDELINES

6.1 Advising, Office Hours, and Registration

6.1.1 Student Advising

A student is usually assigned to an advisor when first admitted to the department and/or college. Academic units provide procedures for assignment.

6.1.2 Office Hours

Faculty members will post and keep office hours each semester and, as a minimum, indicate six hours a week for conferences with interested students. With respect to evening classes (those scheduled after 4 p.m.) and weekend classes, faculty members teaching those courses will make suitable and adequate arrangements to carry out the advising function by scheduling office hours accordingly. A common practice is to state that, in addition to regularly scheduled office hours, appointments may be arranged at other times.

6.1.3 Registration Procedures

Web registration is available for all continuing and returning undergraduate, graduate and professional level students. New undergraduate students are required to register on campus. Final Registration and Drop/Add are held through the third day of classes. Students may not add or change a course after this date; however, withdrawal from a course is permitted several weeks into the semester. Official class rolls are posted online at PAWS. Any student attending a class whose name does not appear on the official roll should be referred to the Registrar's Office and should not attend class.

6.1.4 Auditing

Students may register to audit a class. Regular fees apply to courses taken for audit. Auditing is NOT an informal agreement established *ad hoc* between a faculty member and a student. The regular drop/add policies apply to courses taken for audit. A grade of AU (satisfactory audit) or UA (unsatisfactory audit) is assigned. Students may NOT attend classes for which they are not registered; registered students' names appear on the official class roll.

6.2 Class Definition, Scheduling, and Attendance

6.2.1 Definition of a Class

A "class" at the University of South Alabama is composed of the properly assigned faculty and those students who are properly registered for it. The instructor has no authority to

turn over a class to another person, nor has the instructor any authority to permit any non-registered person to sit in the class or otherwise participate. The faculty cannot act individually to make teaching assignments or reassignments, they cannot act in the capacity of registrar, and they cannot give away instruction that is part of their assigned teaching load.

The State's resources cannot be alienated and the teaching assignment of an appointed faculty member is a resource of the State.

1. Minimum Class Size

The minimum routinely permissible class sizes are ten (10) students for freshman and sophomore courses, seven students for junior and senior courses, and five students for graduate courses. It will be the responsibility of the dean to show justification to the Office of Academic Affairs for any courses that are continued with enrollments of fewer than those specified.

2. Visitation by Colleagues

It should be emphasized that class visitation by professional colleagues does not constitute unauthorized presence in the classroom. Professional colleagues (other faculty or, in the case of non-faculty, any person who is invited to participate actively in the instructional process, e.g., a lay expert's lecture) may be present for such periods as the instructor may desire and engage in any activities not disruptive to the instructional process. The presence or participation of professional colleagues, as they are invited by the instructor, contributes to the general well-being of the University by enhancing the instructional process, when the visitor acts as temporary instructor, or in increasing knowledge and skills for subsequent use elsewhere, when the visitor acts as student. The University welcomes and encourages the visitation and participation of professional colleagues.

6.2.2 Class Scheduling

1. Day Classes

Generally departments offer day classes that meet three times a week (MWF) or two times a week (TR). The day class schedule is divided into class periods that range from 50 minutes in length (MWF) or 100 minutes in length (TR).

2. Evening Classes

Many departments offer night classes that meet two times a week (MW or TR). The night class schedule is divided into class periods that are 75 minutes in length. Some evening courses meet once a week for 150 minutes.

3. Weekend Courses

The same schedule calendar controls both this process and the assignment of regular weekday courses. However, weekend courses (usually offered in one four-hour block of time on Friday evening, Saturday morning, or Saturday afternoon) may be offered

“on-load” or “off-load”. To teach “on-load” means that the course is part of the faculty member’s regular teaching load, and “off-load” means the faculty member teaches the weekend course in addition to a regular load, usually for additional compensation. Weekend courses are designed to accommodate students with heavy non-academic weekday commitments.

4. Changing Class Time or Place

The authority to permanently change either the time or the place of a scheduled class lies with the Senior Vice President for Academic Affairs, which authority may be delegated to the dean and the chair. If delegated, the department chair and the dean should effect change only when such a change is necessary to carry out the specific mission of the class.

6.2.3 Attendance

1. Faculty Attendance

Normally, all classes will meet at the time and place scheduled, and the instructor is expected to meet all assigned classes, which will begin and end at the time scheduled. However, if an instructor must be absent for any reason, e.g., for reasons of health or attendance at professional meetings, it is the responsibility of the instructor and the department chair to ensure that appropriate arrangements to continue the scheduled class(es) are made.

2. Student Attendance

Students are responsible for attending the classes in which they are officially enrolled. The quality of work will ordinarily suffer from excessive absences. At the beginning of classes, instructors must define their policy on absences, and all cases of illness and emergency shall be promptly reported and verified to the instructor. For absences of two or more consecutive class meetings due to illness, death in the family, or family emergency, students should contact the Vice President for Student Affairs. Absence notices will be sent to each instructor notifying him/her of the reason for the approximate length of absence. This notification does not constitute an excused absence.

No person under any circumstances is permitted to attend a class unless the instructor has that person’s name on an official class listing, either for audit or for credit. The instructor is responsible for enforcing this policy.

6.2.4 Withdrawing from a Course

Students will not be permitted to withdraw from courses after the official withdrawal date, except in those rare instances in which mitigating circumstances are patently demonstrable to be beyond the control of the student or the withdrawal is clearly in the best interests of the University.

Authority to withdraw students after the official date will reside in the dean's or director's office of the academic unit in which the student is enrolled. Should this procedure involve a course being taught in another academic unit, the authorizing dean, before rendering a decision, is expected to consult with the counterpart in the other unit to provide an opportunity for further consultation with the appropriate faculty. Once a late withdrawal has been properly approved, the symbol "WD" will be entered for all courses affected.

Course withdrawals will routinely follow the same academic procedure whether the student is withdrawing from a single course or is withdrawing completely from the University. In the event of a procedural problem or if the official withdrawal date has passed, the student will also need to consult his/her academic dean.

6.3 Academic Communication and Protecting Student Privacy Policy

Purpose and Scope

The University community is required by FERPA to protect students' educational records, which include: files, documents, and materials in whatever medium, including those posted on the Internet, that contain information directly related to students and from which students can be personally identified. The University provides faculty, students, and staff with a learning management system, university email, and other software tools to promote communication and learning in a protected environment. These should be the software tools of choice for all course-related electronic network communication.

The purpose of this policy is to protect the privacy of students enrolled in USA distance and correspondence courses or programs and assure compliance with the Family Educational Rights and Privacy Act (FERPA) concerning controlling access to confidential student information. In addition, this policy is intended to explain the use and control of information gathered through the University's learning management system and related educational software.

All credit-bearing courses and programs offered through distance learning methods must not permit access to nor release of any confidential student information to any third parties without written consent of the student other than the following:

- University of South Alabama officials and staff who have legitimate educational interests.
- Officials of other schools to which a student has applied or plans to enroll.
- Federal, state, or local officials as defined by the law.
- Accrediting organizations when conducting accrediting functions.
- Parents of a dependent student (according to the Internal Revenue Service code).
- The courts, in compliance with a subpoena or judicial order, once the University has made a reasonable effort to contact the student.

- Appropriate emergency contacts as defined by the student if the requested information is necessary to protect the safety or health of the student or other individuals.
- Appropriate external parties, such as law enforcement agencies, in order to investigate and respond to suspected violations of law or University policy. Any such disclosures shall comply with all applicable laws and University policies.

FERPA and Distance Education

Electronic student submissions should not be accessible to anyone other than the student and the University employee who needs the electronic submission to carry out his/her duties. This group of employees would usually include the instructor, administrators or staff approved by the Office of Academic Affairs or College Dean, and learning management system or e-learning administrators. For student work to become available to a third party, the student must give permission through a written, signed consent. The consent is voluntary, and a student may decline. If a student declines to give consent, the student cannot be denied any academic opportunity or privilege, or suffer any adverse consequences as a result.

Note: If students are trading documents or projects for peer review, FERPA does not apply until the work is collected and recorded by the instructor.

Student Threaded Discussions or Forum Postings

Written consent to display student identity is not necessary for threaded discussions or forums if:

- Students perform the posting (not instructors)
- Electronic submissions do not contain grading or evaluative comments of a professor
- Students are notified in advance before or during enrollment that posting of their work is a course requirement.
- Submitted work is not available to anyone outside of the class members and faculty.

Sites Outside of University Systems

When course content dictates that the instructor supplement the University standard software tools, faculty members are required to exhibit due diligence to ensure that the selected supplemental software tools protect students' privacy consistent with FERPA guidelines. Access by anyone outside the course must be in accordance with FERPA guidelines.

If an instructor requests or requires students to post to websites or social networking sites outside of the University (e.g., for interaction with the wider community), FERPA protections for that information as to third parties cannot be assured because the material is not on a University-controlled website. However, instructors should communicate the issues,

conditions, and risks associated with any postings that will be publicly available on the Internet at the beginning of the academic term, preferably in the syllabus. Instructors should never post student grades, schedules, student ID numbers or Social Security numbers, or other personally identifiable information. Likewise, instructors should remind students to be careful about posting personal information (schedules, real names, etc.) about their classmates.

Plagiarism Detection Software

University faculty may use or require the use of software intended to deter plagiarism or provide review by instructors or peers. The University presently contracts with Turnitin.com software for these purposes.

Secure Credentials

The J-number (student ID) is not a secure credential and may be displayed in some identity badges, software systems, etc. The password used to enter the system IS a secure credential. Access passwords may not be shared nor given for any reason to anyone other than the user to whom they were assigned.

Other Information Regarding Student Privacy

The USA Registrar's Office (<http://www.southalabama.edu/registrar/>) has additional important information regarding student privacy, non-disclosure of student records, and FERPA.

USAonline Data Collection

When users access USA Online, the web server automatically collects certain technical information from their computers and about the users' connections including: Internet protocol (IP) address, date, time, browser type, referring web site address, and hostname (including domain). With regard to the application, USAonline collects user-specific information about which pages are accessed and approximates the duration of visit. This information is used to analyze traffic, diagnose problems with USAonline computer systems, plan the use of system capacity, improve the quality of the information and services available to users in the application, help manage the site and improve service generally, and customize the services offered to users.

The statistics functions of the USAonline site provide data to faculty course owners to gauge student participation in their course-related activities. In the future and consistent with the requirements of FERPA, aggregate data may also be provided to academic and institutional researchers to facilitate scholarly and institutional research.

USAonline receives a certain amount of personal information from other sources at the University and maintains it for use in the application, including but not necessarily limited to: name, email address, J-number, and class enrollment information.

Voluntary User Information

USAonline may collect information directly from the user, including but not limited to: telephone number, address, photographs, IM screen names, interests, blog posts, and discussions. While USAonline does not generally require this information, mandatory completion or entry may be at an instructor's discretion.

Cookies

A cookie is a small data file that is written to a user's hard drive that contains information about a visit to a web page. USAonline uses cookies to store information about a user's actions or choices on pages associated with the application. Users may set their browser to prompt before accepting new cookies. If cookies are disabled, USAonline will not operate properly.

Security

Due to the rapidly evolving nature of information technologies, no transmission of data over the Internet can be guaranteed to be completely secure. While USAonline is committed to protecting the privacy of its users, it cannot guarantee the security of any information transmitted through University web sites. However, once information is received, USAonline will use reasonable safeguards consistent with prevailing industry standards and commensurate with the sensitivity of the data being stored to maintain the security of that information on our systems. In addition, USAonline will comply with all applicable federal, state, and local laws regarding the privacy and security of user information.

Third Party Hosting

Personal information collected on this website is not disclosed to third parties unless the third party is an institutionally-authorized provider of services to the University. Users of these services are subject to the privacy policies established by the third-party provider. In addition, the University of South Alabama and USAonline will comply with all local and federal laws regarding privacy and security information.

Compliance

In accordance with the responsibilities outlined above, Deans and Directors of University and College-level units are expected to ensure that all faculty and staff within their units remain in compliance with this policy.

Frequency of Review and Update

This policy will be reviewed annually by the Office of Academic Affairs for continued alignment with the applicable federal and state laws, regulations and policies and revised as necessary.

6.4 Course Description, Textbooks, and Sale of Academic Material

6.4.1 Course Description and Syllabi

Each instructor is required to ensure students in each credit class are either furnished a written copy of the following information on the first day of class or have access to a copy electronically:

1. Goals and objectives of the course
2. Textbook(s) and any other instructional material to be used
3. A brief course description (see *Bulletin* entry) and topical outline
4. Office hours of the instructor or means of instructor availability for out-of-class consultation with students

NOTE: *The departmental office will not give out a faculty member's home phone number or the phone number of a part-time faculty member's other place of employment. Hence, if you want your students to be able to contact you somewhere other than here at the university, you should include this on your first-day handout.*

5. Class attendance policy (record of attendance needed to assign F* grade)
6. Number and type of exams to be given during the semester
7. Policy on make-up examinations
8. Course assignments, if any
9. Penalty, if any, for late work
10. How final grade is determined
11. Statement regarding changes in course requirements

NOTE: *Since all classes do not progress at the same rate, the instructor may wish to modify the above requirements or their timing as circumstances dictate. For example, the instructor may wish to change the number and frequency of exams, or the number and sequence of assignments. However, the students must be given adequate notification. Moreover, there may be non-typical classes for which these requirements are not strictly applicable in each instance and may need modification. If such modification is needed, it must be in writing and conform to the spirit of this policy statement.*

12. Statement regarding students with disabilities

In accordance with the Americans with Disabilities Act, students with bona fide disabilities will be afforded reasonable accommodation. The Office of Special Student Services (OSSS) will certify a disability and advise faculty members of reasonable accommodations.

NOTE: The following is a statement that **MUST** be included on the course syllabus: **“If you have a specific disability that qualifies you for academic accommodations, please notify the instructor/professor and provide certification from Special Student Services. (OSSS is located in Room 270 of the Student Center (460-7212).”**

It is the student’s responsibility to register with the OSSS and to give the faculty member a copy of the notification sheet containing information concerning the student’s needs. Students who have not notified the OSSS of a disability may not contest an instructor’s grading in a course based on the instructor’s failure to provide accommodations for his/her disability.

Each student registered with the OSSS is expected to inform all of his/her instructors of the need for classroom accommodations. Accommodations are provided with the support of the OSSS. A student must verify to the instructor that he/she has a qualified disability through the OSSS. If an issue arises concerning students with disabilities, the faculty member should consult with the department chair or designee who will in turn consult with the Director of Special Student Services, if necessary.

For more information or to refer a student to the Office of Special Student Services, contact the Office of Special Student Services (Student Center 270, phone 460-7212).

In addition to the 12 required items listed above, it is recommended that the following information be included on the course syllabus/first day handout:

13. Academic Disruption Policy: The University of South Alabama’s policy regarding Academic Disruption is published annually in *The Lowdown*, the student handbook. We recommend that you cite this policy in your syllabus, and state that you expect students to be cordial, courteous, and respectful of faculty members and fellow students.
14. Student Academic Conduct Policy: The University’s policy on academic conduct is also published annually in *The Lowdown*. We encourage faculty to cite this policy in the course syllabus, and state the penalty that students may incur if they violate these standards in your class.

It is essential that the syllabus be followed closely so that all the topics prescribed in the course are covered adequately.

A Course Syllabus Template was developed in May 2012 as an aid in developing new course curriculum requests. It includes the minimum requirements for a course syllabus as well as recommended items. This template is available for your use at http://www.southalabama.edu/academicaffairs/forms/syllabus_template_052312.pdf.

6.4.2 Textbook Selection and Procurement

At the outset, it is important to understand that the selection of textbooks and the procurement of textbooks are two separate and distinct processes. The faculty, within the context of the academic departments, has the responsibility for textbook selection, and the Bookstore has the responsibility for textbook procurement. This policy statement addresses only the problems of textbook procurement. The following procedures should help alleviate those problems:

1. The selection of textbooks and other required course materials is the responsibility of each department. It is the responsibility of each department chair to administer the procurement of all course materials through the University Bookstore.
2. The University Bookstore will notify all academic departments of the responsible individuals to be contacted in the Bookstore.
3. Once adopted, textbooks will be used for at least two years. Should a new edition appear before the two-year period expires and the old edition becomes unavailable, the new edition may be adopted. The department must ensure that the Bookstore is notified at least a semester in advance if a text is to be changed or its use discontinued.
4. Both the Bookstore and the students should be informed if a particular text is optional or recommended rather than required.

6.4.3 Sale of Academic Materials to Students

In order to comply with all federal copyright laws, State ethics laws and other State laws, the following policy was approved.

The sale of academic materials, including texts, supplementary texts, and other materials directly to students by either an individual faculty member or staff employee or by the academic department is prohibited. All academic materials as indicated above must be sold through the University Bookstore.

State law requires that outside college bookstore retailers be informed of required and optional textbooks and any other academic materials sold to students such as custom published and supplementary academic learning materials (course packets). The University Bookstore will be responsible for preparing a list of these and will make such lists available to off-campus retailers and/or their representatives no more than two (2) working days from the time they are established. Also, all off-campus retailers will be allowed to purchase the items on the list from the Bookstore at a discount, if a margin is added, or at cost if no margin is used, provided the copyright agreement legally covers such a sale.

6.5 Course Credit for Non-Collegiate, Off-Campus, Non-Credit Courses

The University participates in the Advanced Placement Program of the College Entrance Examination Board and gives advanced placement to qualified students. Decisions regarding credit are made after consultation with the chair of the department concerned and the academic dean.

6.5.1 Academic Credit for Non-Collegiate Instruction

University procedures for granting academic credit for non-collegiate instruction are:

1. The University of South Alabama will grant academic credit for approved non-collegiate instruction;
2. The awarding of credit is processed by the Admissions Office for new students and by the Registrar's Office for students already enrolled at the University;
3. The Admissions Office and Registrar's Office are guided by the *The National Guide to Educational Credit for Training Programs*, produced by the American Council on Education in evaluating non-collegiate instruction for elective credit;
4. The appropriate college(s) decides if the awarded credits will be applied to the respective programs;
5. No more than 32 hours of credit may be awarded for CLEP, Military Service School Training and non-collegiate instruction collectively.

6.5.2 Off-Campus Instruction for Credit

1. The requests to offer off-campus courses or programs for credit will follow the normal channels (department chair, dean, Dean of Continuing Education and Special Programs, Senior Vice President for Academic Affairs). Since all off-campus courses or programs must be approved by Alabama Commission on Higher Education (ACHE), course and program proposals must be submitted to ACHE sixty (60) days prior to the proposed implementation.
2. For students enrolled for regular University credit courses there are a number of special fees assessed. Some of these fees (e.g., the athletic fee, the student activity fee, etc.) may be inappropriate for a short-term student. Under these circumstances, a waiver of these fees may be requested. It is noted in this regard that special conference fees, in addition to the registration fee and tuition, may be required for a given course.

With regard to other University fees for special courses held on the main campus a decision concerning these fees will be evaluated on a case-by-case basis.

3. Guidelines for off-campus courses are given in detail and are available in the college dean's office or in the Continuing Education Office.

6.5.3 Non-Credit Course Work

The School of Continuing Education and Special Programs is the administrative unit charged with administering non-credit programs at the University of South Alabama. A non-credit course is defined as a learning activity that meets the criteria established by the Southern Association of Colleges and Schools for the awarding of individual CEUs.

Proposed courses must meet the above criteria and must be approved in advance by the Office of the Dean of Continuing Education and Special Programs. The Senior Vice President for Academic Affairs will be informed of all non-credit courses prior to their being offered. Appropriate records of all non-credit courses, including individual CEU records of students, will be maintained by the Office of the Dean of Continuing Education and Special Programs.

Non-credit activities that do not meet the individual CEU criteria will be accounted for only in terms of institutional CEU's, as defined by the Southern Association of Colleges and Schools. It will be the responsibility of the colleges and divisions of the University to report institutional CEU activities to the Office of the Dean of the School of Continuing Education and Special Programs on a semester basis.

6.6 Course Assignments, Testing, and Final Examinations

6.6.1 Assignments and Testing

1. Scheduling and Number of Papers, Tests, etc.

The number of tests or papers in a course is not regulated by University policy. Colleges, divisions, and departments may develop policy on this matter. Informal observation suggests that faculty members usually give two or three tests within the semester. The assignment of papers will depend on the objectives of the course but is generally encouraged. Most instructors give at least one test or require one paper prior to the last drop date for the semester, as it is rare that a student is permitted to drop a course after the final drop date. Since the last day to drop a class is placed well into the semester, it does not require extraordinary effort to provide students with a graded item before that day.

2. Format of Testing

Unless specified by the department, format of testing is decided by the individual faculty member. Computerized grading (through scan sheets) is available for "objective" tests (true-false/multiple choice) where the student makes a selection of an answer from those provided, a format that rewards educated guesswork. "Constructive" tests, where the student is required to construct an answer to a question, require the student to organize and present knowledge employing powers

of analysis and synthesis, as well as the skill of writing. For disabled students, a suitable adjustment of format may be appropriate (consult the Office of Special Student Services).

3. Format of Testing with Regard to Teaching Styles

Adjustment of testing to one's particular teaching style will take into account the student's experience in the course, and the testing will ask the student for a response, in form and content, for which the student is reasonably prepared by the course experience.

4. Students Making Up Missed Work

Instructors commonly allow for makeup of work missed for reasons deemed appropriate (illness, family problems, emergencies, weather, etc.). Excuses for approved university-related activities are approved by the Dean of the College of the student's major.

5. Proctoring Tests/Examinations

Faculty proctor tests and examinations in courses for which they are the instructor of record. When it is necessary for an instructor to be absent from a class in which testing is scheduled, the instructor, in consultation with the departmental chair, may arrange with another faculty member or appoint a non-faculty member (for example a graduate assistant) to proctor the examination.

6.6.2 Final Examination

University regulations require that a final examination in each course be given during the regularly scheduled final examination period at the specific time indicated in the final examination schedule. The examination will take place in the instructional space assigned to the particular class. Any deviation from the scheduled time and place for the final examination must have the prior approval of the appropriate dean's office.

The character of certain courses may justify exceptions to this requirement. In such cases, it shall be the responsibility of each department to ascertain which of its courses, if any, do not require a final examination and to obtain the appropriate dean's approval. Once the list has been approved, those courses will carry a continued exemption from the final exam requirements.

The normal expectation of the University is that final examinations will take written form and be course comprehensive in nature. At the same time, the University recognizes that situations may arise in which a faculty member may find some pedagogic reasons for employing alternate examining methods.

If a student has the problem of more than two finals on the same day, faculty must cooperate in an effort to reschedule one of the exams. This is a rare event but it does

happen; directions on resolution of the problem are printed with the final Exam Schedule in the Class Schedule.

6.7 Records and Grades

6.7.1 Class Records

The instructor is responsible for maintaining a record of class attendance for each student, ensuring that only duly-registered students attend class. Students enrolled in a course who do not have the prerequisite(s) may be administratively dropped from the class roll.

6.7.2 Grading System

Students are graded on the basis of the following guidelines:

A	4 grade points per semester hour	- Excellent
B	3 grade points per semester hour	- Good
C	2 grade points per semester hour	- Satisfactory
D	1 grade point per semester hour	- Minimum Passing
F	Failure, no grade points	
S	Satisfactory, no grade points	
U	Unsatisfactory, no grade points	
F*/U*	is assigned in cases where the student does not officially withdraw, but who failed to attend, or failed to complete assignments or who failed to participate in class activities. It should be used when, in the opinion of the instructor, completed assignments or course activities were insufficient to make normal evaluations of academic performance possible.	

Grades of record do not take into account pluses and minuses. If a faculty member's grading system in a course is calibrated to pluses and minuses, those grades will be adjusted to quality-point letter grades without pluses and minuses when posted on the student's permanent academic record.

1. The following symbols are substitutes for grades. They are not grades.

- I Incomplete (see below)
- X Absence from final examinations (see below)
- WD Withdrawal in good standing
- P Course in progress (see below)
- AU Audit
- N No grade or invalid grade (assigned only by the Registrar)

2 Use of Symbols "I", "X", and "P"

- The symbol “I” (Incomplete) is assigned when, for reasons beyond the student’s control, the student is unable to fulfill all the normal course requirements. The situation warranting an “I” must be a medical condition, an equipment problem, or other mitigating circumstance that is patently demonstrable to be beyond the student’s control. This symbol is not used to provide time for completion of extra work beyond the normal course requirements for improving the student’s grade, nor is it assigned to permit the student to avoid probation, suspension, or dismissal.
- The symbol “X” (Absence from Final Examination) is assigned only in cases where illness or an unforeseen emergency precludes the student’s appearance at the scheduled examination. All records of the symbol “I” or “X” must be cleared by the mid-term of the next semester; if they are not, grades of “F” will be recorded by the Registrar.
- The symbol “P” (In Progress) is assigned only in a limited number of approved courses that require more than one semester for completion. Unless the “P” is removed by the end of the second succeeding semester, a grade of “F” will be recorded.

NOTE: The symbols “I”, “X”, and “P” become final grades of “F” unless cleared by the official deadlines. This statement signifies to the instructor that these symbols, when not replaced by a grade prior to the appropriate deadline, will AUTOMATICALLY become grades of “F” with no further authorization.

- At present, extensions of the time available to students to complete the required work may be authorized only by the dean’s office of the college or school in which the concerned course is taught.

6.7.3 Criterion-Referenced and Norm-Referenced Grading

A useful concept in developing a grading procedure is to distinguish the basis for the grading. To over-simplify the difference, criterion-referenced grading relies on an objective standard external to the performance of a particular student or class. Norm-referenced grading relies specifically on the performance of the class. For example, a numerical grade of 75 might be a “C” using the former basis but an “A” using the latter. Each method has its advantages and disadvantages. It is important to select one and apply it consistently.

6.7.4 Reporting Grades

Final course grades are due at the date and time indicated in the University Calendar.

Final course grades are entered through the PAWS system by the primary instructor as indicated in the Banner student information system. In the event of an emergency, and the primary instructor is not able to enter grades, the department chairperson will be designated as the primary instructor in Banner, and will enter grades through PAWS. In order to maintain the security of the system and to ensure the confidentiality of student records, faculty members will not share their Jag Number (User ID) or PAWS PIN with any other individual.

6.7.5 Posting Grades

The Buckley Amendment concerning the student's right to privacy prohibits the disclosure of certain types of student information, including the release of grades, without the student's consent. Therefore, posting grades is NOT an advisable practice, even when codes are used instead of names. Grades are available to students through the PAWS system at the end of each term. **GRADES MUST NOT BE SENT TO STUDENTS VIA EMAIL.**

According to the Family Educational Rights and Privacy Act (FERPA), the public posting of grades by the name of the student, the institutional student identification number, or social security number is forbidden without the student's written permission. According to the AACRAO 2001 FERPA Guide (AACRAO = American Association of Collegiate Registrars and Admissions Officers), "Instructors and others who insist on posting grades should use a system that ensures that FERPA requirements are met. This can be accomplished either by obtaining the student's un-coerced written permission or by using code words or randomly assigned numbers that only the instructor and individual student know. The order of posting should not be alphabetic."

This rule applies to all postings of grades, including those appearing on a class or institutional website. It also applies to all classes, including on-line courses.

6.7.6 Grade Changes

The faculty are responsible for assigning grades to enrolled students at the end of each semester. Once a grade has been assigned, it constitutes an official academic record of the University and may be changed only through official University action. (Please note that this statement concerns grades only; it does not concern the symbols that substitute for grades.) The action necessary to change a grade will be grounded in the following policy stipulations:

1. Only the faculty may assign grades.
2. The accuracy and integrity of the University's official academic records are ultimately the responsibility of the Office of Academic Affairs.
3. The only legitimate grounds for changing an assigned grade is the presence of error in the original evaluation, computation, or recording of the grade, as determined by the faculty member. Grades may not be changed for any other reason.

4. Should an error be discovered, the faculty member concerned has the responsibility to request to change the officially recorded grade. The instructor has one year to change a final grade because of clerical error in recording the grade or in computing it.
5. Only the dean of the college has the authority to direct the Registrar to change an officially recorded grade. The delegation of this authority to the dean's level does not impede or restrict the right of the faculty to request and be granted approval to change a grade when it has been erroneously entered into the official academic records of the University.
6. In the event that a grade change is necessary, the faculty member will obtain the appropriate form from the Registrar's Office and follow the instructions on that form.

6.7.7 Final Grade Grievance Policy

Students who allege an unfair final grade have recourse through the Final Grade Grievance Policy (see section 8.1).

6.7.8 Academic Status Policy for Undergraduates (Approved 12-04-02)

Required Grade Point Average

All undergraduate students must meet the established standards designating appropriate academic progress. To stay in good academic standing with a Clear status, a student must maintain a grade point average of 2.0 or greater on University of South Alabama course work.

As discussed in the section, General Requirements of Bachelor Degrees, a student must earn a minimum cumulative USA grade point average of 2.0 to graduate. Some programs require a higher grade point average.

Academic Probation

Students with a cumulative grade point average below 2.0 are having academic difficulties and are alerted to this fact by being placed on academic probation. Students on academic probation are restricted to taking not more than 13 credit hours per term, unless exempted from this regulation by the dean of their college. Students with grade point averages substantially below 2.0 are subject to academic suspension or dismissal as indicated below.

Academic Suspension

Academic suspension for one regular semester results if a student at the end of any semester does not have the minimum grade point average indicated in the suspension and dismissal table following. The minimum required grade point average varies with the total

number of credit hours attempted at the University. No student will be suspended before they have attempted at least thirty credit hours at the University.

Academic Dismissal

Academic dismissal for one calendar year results if a student who has been reinstated following a previous academic suspension or dismissal fails to make satisfactory progress. Satisfactory progress is specified in the sections following titled Reinstatement Following Academic Suspension and Reinstatement Following Academic Dismissal.

Suspension and Dismissal Table	
Hours	Minimum GPA
30-42	1.20
43-54	1.43
55-66	1.56
67-77	1.64
78-89	1.69
90-102	1.73
102-up	1.80

Reinstatement Following Academic Suspension

Students reinstated following one regular term (excludes summer term) of academic suspension are readmitted on academic probation. Students in this category are subject to academic dismissal if they do not make satisfactory progress. A student is considered to be making satisfactory progress as long as they maintain a USA grade point average for each semester of 2.00 or above until their cumulative USA grade point average is above the minimum required grade point average for dismissal as outlined in the table above. Once a student achieves a grade point average larger than the minimum required grade point average, he/she is subject to the requirement to maintain his/her grade point average above the minimum value as listed in the table. Returning students will remain on probation until the cumulative USA grade point average is 2.0 or greater.

Students intending to seek readmission after suspension must first file a Readmission Form by the official deadline with the Office of the Registrar.

Reinstatement Following Academic Dismissal

Students academically dismissed from USA may be considered for readmission on academic probation after a period of one calendar year has passed. Readmission requires dean's office approval. Students readmitted after dismissal are subject to a second dismissal if they do not make satisfactory progress. A student is considered to be making satisfactory

progress as long as they maintain a USA grade point average for each semester of 2.25 or above until their cumulative USA grade point average is above the minimum required grade point average for dismissal as outlined in the table above. Once a student achieves a grade point average larger than the minimum required grade point average, he/she is subject to the requirement to maintain his/her grade point average above the minimum value as listed in the table. Returning students will remain on Probation until the cumulative USA grade point average is 2.0 or greater.

Students intending to seek readmission after dismissal must first file a Readmission Form with the Office of the Registrar by the official deadline and consult with their academic dean.

Academic Bankruptcy

Undergraduate students readmitted after an absence of at least one or more calendar years may choose to count all or none of their University of South Alabama credits toward completion of degree requirements and the computation of their grade point average. Should the student elect to count none of the prior work, i.e. declare academic bankruptcy, the student is, in effect, allowed to start academic work at the University of South Alabama over with a GPA zero; however, all course work will remain on the student's academic record. This determination must be made by the student during the term of re-entry, but preferably at the time of application for readmission. Academic bankruptcy requires dean's office approval. This election may be made only once during a student's USA career and is irrevocable. Such election also carries with it the stipulation that the student's choice of Bulletin is limited to those in effect from the time in which the student declares academic bankruptcy onward. Academic

In determining academic honors at the University of South Alabama, only the course work taken after academic bankruptcy has been declared counts in the calculation of GPA.

The option of academic bankruptcy is not available to a student who has received a bachelor's degree.

For financial aid recipients – filing academic bankruptcy will not clear the student's satisfactory progress problem nor reinstate the federal financial aid and eligibility (including loans).

6.8 Grade Replacement Policy

Under certain conditions, when a course has been repeated, a student may request that an earlier grade not be used in the calculation of the USA grade-point average.

Please Note: A USA grade-point average that includes grade replacement, may not be used for some purposes. For example, graduate and professional programs may recalculate your grade-point average with no grade replacement for admissions decisions.

If you are receiving financial aid, please be aware that the Standards of Academic Progress Policy is separate from the Grade Replacement Policy. Replacement of a grade does not change the satisfactory academic progress calculation. All work attempted is part of this calculation and repeating courses could negatively affect your eligibility for financial aid. If you have questions, please contact the Office of Financial Aid (251-460-6261) or finaid@usouthal.edu.

This policy is subject to the following conditions:

- Only USA undergraduate students qualify for this policy
- All attempts for each course are recorded on the transcript. Courses that are not used in calculating the GPA will remain on the transcript.
- Only courses taken at USA are eligible for grade replacement.
- Courses in which a B, C, D or an F was earned are eligible for grade replacement
- A maximum of three course grades can be replaced. In each case, the student must have repeated the identical course with an improved grade relative to the course grade being replaced.
- It is possible for a student to have more than one grade removed from the GPA calculation for the same course. However each grade that is removed counts towards the maximum of three course grades that can be replaced.
- Course substitutions are not eligible for grade replacement. To be eligible, the repeated course must have the identical course number and identifier as that for the grade being replaced.
- Certain courses are not eligible for grade replacement. Courses that are not eligible include: Graduate courses, Honors courses, PE activity courses, internships/clinicals, health science professional courses, field experiences, research seminars, independent/directed studies, and special topics courses. Please check with your specific program for further restrictions on eligible courses.
- A course grade received as a result of academic misconduct does not qualify for grade replacement.
- Once a student graduates, a class may not be repeated to improve his/her grade-point average.
- Grade replacement does not change a student's past academic standing.

Application Procedure

- Complete a Grade Replacement Application form and turn it in to your College Advising office.
- Each course grade replacement request must be done on a separate form.
- Once a grade is replaced, the action is irrevocable.
- A maximum of three grades for repeated courses can be replaced. Additional requests will not be granted. This rule may not be appealed.

- This form may be turned in anytime before the awarding of the bachelor's degree.
- You will be notified through your USA email of the approval or denial of this request. You may confirm by viewing your PAWS transcript.

6.9 Development of New Academic Programs

Proposals for new degree programs should be reviewed and approved by college or school committees, University councils, and the President. In addition, the Associate Vice President for Academic Affairs reviews all proposals for compliance with the Alabama Commission on Higher Education (ACHE) and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) requirements.

Following internal approval, proposals are subject to review and approval by ACHE. ACHE policy requires the submission of the Notification of Intent to Submit a Proposal (NISP) to allow review and comments by other institutions prior to submitting a full proposal. ACHE criteria include:

1. **Relevance of Institutional Role** – Is the proposed program within the Commission recognized role of the institution?
2. **Need for the Program** – Will the program satisfy a clearly documented need (institutional and societal) in an effective and efficient manner? If the program duplicates or closely resembles another program already offered in the State, can this duplication be justified? What characteristics of the identified need require that it be met by a new program rather than an existing program? For purposes of this criterion, duplication is defined as the same or similar six-digit CIP code and award level in the Commission's academic program inventory. For doctoral programs, regional and sometimes national need should be addressed.
3. **Collaboration** – If similar programs are available at other institutions in the state, will any type of program collaboration be utilized? Why or why not? What specific efforts have been made to collaborate with institutions to meet the need for this program? Address qualitative, cost, and access considerations of any collaboration that was considered.
4. **Program Objectives and Content** – Are the objectives precisely stated and appropriate to the program? Will the curriculum design, resource allocation and method of program delivery support the objectives? Are the objectives stated in a way that facilitates subsequent review and assessment? Include the assessment plan.
5. **Student Availability and Demand** – Is there a documented demand by enough suitably qualified students to justify the program and sustain it over a reasonable period of time?

6. **Program Completion Requirements** – Are program completion requirements sufficiently rigorous to produce graduates who can compete in the market place?

To accommodate internal reviews, a proposal should be completed at least three months in advance of the anticipated submission date to ACHE. The Commission on Higher Education accepts degree program proposals at specific times during the year. Check with the Office of Academic Affairs for deadlines and meeting schedules.

ACHE also considers the addition of new options, concentrations, tracks, or specializations within existing degree programs as alterations or extensions of existing degree programs, which must be approved by ACHE. Proposals for alterations or extensions of existing degree programs may be submitted to the Commission through appropriate University channels, including the department, Dean, Associate Vice President for Academic Affairs, and the Senior Vice President for Academic Affairs/Vice President for Health Sciences.

The University is required to notify ACHE of other actions affecting academic programs and units through “information items” submitted prior to implementation of the changes. These actions include changing program titles or degree designations, placing programs on inactive status, creating a new department, merging two or more departments, and initiating non-degree academic programs such as certificate programs.

Once ACHE approval for a new program has been received, a SACSCOC substantive change prospectus may be required. This prospectus must be submitted at least three months in advance of the projected start date for the program. Check with the Associate Vice President for Academic Affairs for details about this process.

After approvals from ACHE and SACSCOC are obtained, the college/school must complete the Academic Program Request form. The form can be found on the Office of Academic Affairs website: <http://southalabama.edu/academicaffairs/forms.html>

6.10 Library Facilities

The University of South Alabama Libraries includes Marx Library, the Biomedical Library, the Mitchell College of Business’s Learning Resources Center (MCOB/LRC), and McCall Library (the Doy Leale McCall Rare Book and Manuscript Library). The Biomedical Library facilities primarily support the missions of the Colleges of Medicine, Nursing, and Allied Health Professions, the USA Medical Center (USAMC), and USA Children's and Women's Hospital. Biomedical Library facilities also serve as health science resource libraries for the surrounding Gulf Coast area. Baugh Biomedical Library (BBL) is located on campus near the College of Medicine. A librarian provides specialized business research and instructional services for students in the MCOB’s LRC. Marx Library, also located on campus near the College of Medicine, serves all students, staff, and faculty as the general library and includes McCall Library which will be relocated from the Springhill Avenue campus to Marx Library in 2015. Marx Library also is home to Mary Elizabeth and Charles Rodning Gallery of Art that feature the works of local and regional artists, including USA students, staff and faculty. A

librarian provides library research and instructional services for students and faculty at the Baldwin County campus of the university. All USA students and faculty have access to the collections and services of these library facilities.

6.10.1 Circulation of Materials

All faculty members must present a current University identification card before borrowing materials. Faculty members with overdue books will be blocked from further borrowing.

Each academic term faculty or staff member may authorize a student assistant, staff member, or other agent to charge-out or renew materials for him/her by sending written authorization signed by him/her to the appropriate Circulation Department. (This authorization will be kept on file at the Circulation Desk.) The faculty member's ID card must be presented for each transaction.

For further information consult the University of South Alabama Libraries for circulation policies.

6.10.2 Reserve Materials

Faculty members may place materials on reserve each academic term. For further information, contact the Reserve Department of the appropriate library.

6.9.3 Interlibrary Loan (ILL)

The Libraries will attempt to borrow materials that are not in their collections from other libraries via ILL. The material will be circulated under the regulations set forth by the lending libraries. For further information, contact the appropriate ILL Department.

6.10.4 On-Line Search Service

For more information, contact the appropriate Reference Department of the University Libraries.

6.10.5 Library Orientation and Instruction

The Libraries offer orientation and instruction for faculty and others upon request. To arrange a tour or class call the appropriate library as follows: Marx Library: (251) 460-6045; Biomedical Library (251) 414-8210.

6.10.6 Instructional Media Center (IMC)

Marx Library houses a collection of audio and visual materials such as DVDs, VHS tapes, and CDs in its IMC located on the first floor. Such materials may be borrowed and questions

about holding, loan periods, etc., answered at the Circulation Desk in the atrium area of the library.

6.11 Computer Use Policy

Purpose of this Policy

- To educate users about their responsibilities regarding acceptable use of University computers/networks
- To describe and prohibit unacceptable use of University computers/networks

6.11.1 Faculty and Staff

The University of South Alabama, through its Computer Services Center (CSC), provides an academic network and multi-user Unix systems to be used by faculty, staff and students for instructional and research activities. The CSC also houses the center of the University networks, including the main campus fiber networks and the wide-area links to the University Hospitals. Anyone using the campus network, mainframe systems or computer equipment owned by the University must be authorized to do so, and must adhere to all guidelines stated in the **University of South Alabama Computer Use Policy**.

The CSC also complies with the **Alabama Research and Education Network (AREN) Acceptable Use Policy**. The University's gateway to AREN (formerly the Alabama Supercomputer Network) and the Internet is located at the CSC. All users of University network facilities are obligated to adhere to the terms of this policy.

All University employees are required to adhere to the policies listed throughout this policy. However, these policies do not preclude individual departments from making more specific guidelines for their employees based on the nature of their work.

User Privileges and Responsibilities

1. Authorization

In general, University of South Alabama colleges and departments are responsible for the allocation of computer resources for their faculty and staff. **No one should use any University computer or network facility without authorization from the appropriate personnel in that office or department.** University computers and networks are to be used for University purposes, i.e., to further the educational programs of the University. Any attempt to disrupt, degrade or improperly gain access to University computer resources is prohibited. Unauthorized wiring, altering or damaging of University-owned computer equipment, including network hardware and software, is also prohibited.

2. IDs/Passwords

No one should give a computer password to an unauthorized person, nor obtain another person's password by any unauthorized means. Deliberately and inappropriately observing, recording, accessing, using or transmitting passwords, account numbers, email addresses, phone numbers or credit card numbers belonging to other people is strictly prohibited.

Administrative Devices: An "administrative device" refers to a terminal or microcomputer used to access administrative computer systems (e.g., Master Student File, Payroll, Financial Aid systems, etc.). Access to administrative devices is limited to individuals engaging in official University business. All persons given unique passwords and sign-ons are required to sign a Statement of Accountability, which states that this information is not to be shared with any other individual. Knowledge of sign-on codes, file access codes, and input transaction codes is also restricted to individuals engaged in official University business. (Authorized personnel should see **Information Systems Security Policy** for further details concerning use and misuse of administrative devices.)

3. Email

The University email systems are to be used for University business only – not for personal business or personal gain. Users have full responsibility for all messages they transmit through the University's computers, networks and systems. Consequently, all laws and rules against fraud, harassment, obscenity, etc., which govern all University communications also apply to email. Abuse of the email system may be grounds for disciplinary action, up to and including termination.

Personal Communication: As with the office telephone, it may be necessary at times for email to be used for personal communication. Care should be taken not to impede the business operations of the University with personal email. Excessive personal use would constitute abuse of the system and would be grounds for disciplinary action.

No Spam: "Spam", the practice of mass-broadcasting unsolicited email (e.g., commercial advertisements, chain mail, pornographic materials, political lobbying, hate speech, racial diatribes, and religious proselytizing), **is strictly prohibited at the University of South Alabama.**

Viruses: Users should exercise caution when downloading executable programs via email, as they might interject computer viruses into University computers and/or networks. It is illegal to knowingly replicate or transmit computer viruses, or otherwise deliberately damage the systems or files of other people.

Confidentiality and Security: No one without specific authorization may read, alter, or delete any other person's computer files or email, even if the equipment and software

have that capability. **No email system is completely secure.** Consequently, email should not be used to transmit computer passwords, credit card numbers, or other confidential information about students or employees. Routine maintenance of the email systems may require or inadvertently lead to viewing some pieces. The CSC will respect the privacy of such mail, and will not reveal its contents to any other parties. However, if activities in violation of law or University regulations are discovered through this procedure, the CSC may report such information to the appropriate authorities. Departments are advised that information subject to confidentiality regulations should not be transmitted via these electronic media without prior written approval from the appropriate administrative offices.

No “Hacking” or “Cracking”: Deliberately invading the privacy of others by attempting to gain unauthorized access to any account or system is strictly prohibited.

4. Internet

All computer accounts provided to faculty/staff are intended for the University’s work. Many University departments do encourage their employees to use the Internet to educate themselves, *provided* time and equipment are available. As a University employee, you are accountable for how you use your time on the job. In consideration of other network users, employees should limit bandwidth-intensive activities (e.g., playing or downloading network-based games, music or video) to those that are required as part of their employment. University employees are prohibited from using University equipment for private money-making enterprises. Due to the real danger of transmitting computer viruses, extreme care should be taken in downloading executable files from the Internet onto University computers. It is unacceptable to use University equipment or networks to view, download, post, print or send pornography, or other sexually explicit, profane, obscene, hostile, or blatantly offensive and intimidating material, including hate speech, threats, harassing communications (as defined by law), or information that violates any state or federal laws. Using University equipment/networks for the sale of weapons, drugs or illegal substances is strictly prohibited.

5. Web Pages

All web pages running on University-owned servers must adhere to the University of South Alabama’s Web Policies, which can be viewed in their entirety from the USA Web Services web site (www.southalabama.edu/webservices). These policies govern the management of those electronic documents that represent the University and are accessible on the Internet. Individual University departments are responsible for the accuracy and integrity of the contents of their web pages, and have full responsibility for what they publish. The Web Services office periodically reviews USA web sites and links to ensure that the University is being represented appropriately and that all official symbols are being used correctly. Any objectionable content found in USA

web sites or links will be subject to laws and rules against fraud, harassment, obscenity, etc.

6. Software Licensing (copyright laws)

All faculty/staff should be aware that uploading or downloading copyrighted material, violating the intellectual property rights of others, or illegally sharing trade secrets is strictly prohibited at the University of South Alabama. All reproduction and use of computer software on University equipment or by University employees or students in pursuit of University business or instruction must be in accordance with copyright law (as set forth in Title 17, United States Code) and the manufacturer's condition of sale. (See the **University of South Alabama Software Policy**, printed in its entirety at the end of this document.)

7. Violations/Consequences

In addition to all guidelines in the policies stated here, all University of South Alabama employees are subject to the policies and disciplinary procedures outlined in the *Staff Employee Handbook* and the *Faculty Handbook*. Violations of any University computer policies incur the same types of disciplinary measures as other University policies or state or federal laws (up to and including criminal prosecution).

6.11.2 Students

The University of South Alabama provides student access to computer resources through its departmental labs located throughout campus. Students using these labs must adhere to all University policies regarding the use of computers and computer networks, including the **University of South Alabama Student Computer Use Policy** and the **Alabama Research and Education Network (AREN) Acceptable Use Policy**. (Guidelines specific to students in medical fields are included in the **University of South Alabama Student Computer Use Policy**.)

Lab privileges can be denied to anyone using this equipment for illegal or unethical purposes. Any illegal behavior observed in the labs may be reported to appropriate University officials or law enforcement agencies. All students are required to adhere to the policies pertaining to them throughout this document. However, these policies do not preclude individual departments from making more specific guidelines for their students or facilities.

Computer Use

The University of South Alabama provides student access to computer resources through the email systems, Jaguar 1 systems, web servers, and departmental labs located throughout campus. Students using these resources must adhere to all policies of the

University of South Alabama, as well as the Alabama Research and Education Network, regarding the use of computers and computer networks.

Lab privileges can be denied to anyone using University equipment for illegal or unethical purposes. Any illegal behavior observed in the labs will be reported to appropriate University officials or law enforcement agencies. Anyone using the lab computers in this way, or any other generally inconsiderate manner, will be subject to appropriate disciplinary action. Such behaviors/activities include, but are not necessarily limited to, the following:

1. Illegal Activity

- **Uploading or downloading copyrighted material**, violating the intellectual property rights of others, or illegally sharing trade secrets. (Please note that MP3 and other music files frequently fall into this category.) Accessing, downloading, or printing out articles solely for educational and research purposes, however, may be permissible under the fair use clause of the Copyright Law. See the **University of South Alabama Software Policy** for more specific guidelines on using copyrighted software.
- **Illegally sharing computer software** via Internet, the local network, personal disks or any other media.
- **Copying or transmitting material contained in copyrighted databases** such as Infotrac, without permission from the source.
- **Buying or selling weapons or illegal substances** via computer network.
- **Threatening or “stalking”** others via computer network.
- **Knowingly replicating or transmitting computer viruses**, or otherwise deliberately damaging the systems or files of other people.

2. Strictly Prohibited Behaviors/Activities

- **Trafficking in pornography** of any kind via computer network. Please note that *redistribution* of pornography, even through web page links, is often illegal.
- **Activity that violates state or federal law**. This may include viewing, downloading, posting, printing or sending pornography, or other sexually explicit, profane, obscene, hostile, or blatantly offensive and intimidating material, including hate speech, threats, harassing communications (as defined by law), or information that violates any state or federal laws.
- **“Spam”**, the practice of indiscriminately sending unsolicited email (e.g., commercial advertisements, chain mail, pornographic materials, political lobbying, hate speech, racial diatribes, and religious proselytizing) to persons who have not indicated interest in receiving such materials.
- **“Hacking” or “Cracking”**, i.e., deliberately invading the privacy of others by attempting to gain unauthorized access to any account or system.
- **Obtaining/distributing confidential information**. Deliberately and inappropriately observing, recording, accessing, using or transmitting

passwords, account numbers, email addresses, phone numbers or credit card numbers belonging to other people is prohibited.

- **Downloading executable programs**, which might interject computer viruses into lab computers, is generally prohibited. Further guidance with regard to safe sites and appropriate downloads should be sought from the lab facilitator. (The University takes no responsibility for damage to your work or your own equipment resulting from viruses or files you might download via the Internet.)
- **Using University equipment, including the University's Internet lines, servers or web pages, for commercial gain.**
- **Unauthorized wiring, altering or damaging of University-owned computer equipment**, including hardware and software.
- **Tampering** with lab machine settings.

3. Considerate Use

- **"Surfing the Net"** on lab machines for academic enrichment is permitted; however, precedence is always given to students needing access for assigned course work. Classes in the lab with a faculty member also have precedence. Otherwise, lab access is allocated on a first-come basis. Individuals who have been on a computer for more than two hours should yield if others are waiting.
- In consideration of other network users, students should **limit bandwidth-intensive activities** (e.g., playing or downloading games, music, video) to those required by their curriculum.

4. Violations/Consequences

In addition to all guidelines in the policies stated here, all USA students are subject to the rules outlined in the **Code of Student Conduct** and the **Student Academic Conduct Policy**, which are both published in *The Lowdown*. Violations of any University computer policies incur the same types of disciplinary measures as other University policies or state or federal laws (up to and including criminal prosecution).

5. Additional Guidelines for Students

- **Sexually Explicit Material:** All students are expected to effectively discriminate between professional and unprofessional portrayals or nudity and sexuality. This is an important aspect of professional judgment in many fields of study. Dealing with nudity, the examination of the human body and the full range of human sexuality are relevant and appropriate to those in medical and other professions. A number of Internet sites (e.g., The National Library of Medicine and NIH) portray some such materials. Individuals working in medical school and nursing labs should expect to occasionally encounter nudity and professional portrayals of sexually explicit material.

- **Appropriate Activity:** While the full range of free speech is supported and encouraged, USA students should always be mindful of the fact that the computer labs are located in public areas. Materials on screens visible to others working in the lab, materials that are deliberately or inadvertently left behind on the hard drive, and materials posted to the Internet from this lab should reflect well on the professionalism of our programs. Imposing exposure to inappropriate sexual materials upon student or faculty colleagues working nearby (or using the lab at a later time) might be construed as sexual harassment. Those in doubt about appropriate activity should seek faculty advice.
- **Confidentiality:** Confidentiality is another issue affecting students using the labs. Under no circumstances should students leave, post or transmit confidential material such as research data, case reports or private notes about patients (or case studies) on these computers. The University takes no responsibility for student work left on lab machines, even if the lab facilitator gave permission for it to be on the machine. Any such work may, at any time, be erased accidentally or in routine clean-up activities. Students should not leave private work or communications on these computers, nor should they read any private information accidentally left by others. No material should be left on these computers without permission from the lab facilitator.
- **Reliability of Information:** Students should remember that material on the Internet may or may not be accurate and reliable. It is critical that any information found on the Internet is carefully evaluated, especially with regard to pharmacology and health information.

6.11.3 Alabama Research and Education Network Acceptable Use Policy

The Alabama Research and Education Network (AREN) and the CSC comply with the following Acceptable Use Policy. **All users of University network facilities are obligated to adhere to its terms.**

Overview

The Alabama Research and Education Network (AREN) is a statewide network administered by the Alabama Supercomputer Authority (ASA). The purpose of this policy is to provide a definition for acceptable use by authorized users of AREN and to indicate recommended action if the policy is violated.

In those cases when information is transmitted across regional networks or Internet, AREN users are advised that acceptable use policies of those networks apply and may limit access.

1. ASA Primary Goals

The Alabama Supercomputer Authority has been established to:

- Enhance university research in Alabama

- Attract and support high technology industry
- Expand knowledge and use of computational science.

2. AREN Acceptable Use Policy

- All use of AREN must be consistent with ASA's primary goals.
- AREN is for the use of individuals legitimately affiliated with member organizations, to facilitate the exchange of information consistent with the academic, educational and research purposes of its member organizations.
- It is not acceptable to use AREN for illegal purposes.
- It is not acceptable to use AREN to transmit threatening, obscene, or harassing materials.
- Access to the Internet is provided through an ASA statewide contract with a regional network provider. The contract allows ASA to grant access to the Internet to any governmental, educational and industrial entity through AREN. Charges may be assessed by ASA to facilitate network connectivity. Reselling of the Internet connectivity and services is prohibited.
- It is not acceptable to use AREN to interfere with or disrupt network users, services or equipment. Disruptions include, but are not limited to, disruption by unsolicited advertising, propagation of computer worms or viruses, and using the network to make unauthorized entry to any other machine accessible via the network.
- Information and resources accessible through AREN are private to the individuals and organizations which own or hold rights to those resources and information unless specifically stated otherwise by the owners or holders of rights. It is therefore not acceptable for an individual to use AREN to access information or resources unless permission is granted by the owners or holders of rights to those resources or information.

3. Violation of Policy

All organizations authorized to access AREN are responsible for informing their users of this acceptable use policy. All users of AREN are required to follow the acceptable use guidelines, both in letter and spirit.

ASA reserves the right to monitor and review all traffic on AREN for potential violations of this policy. Violations of policy that are not promptly remedied by individuals and member institutions may result in termination of access to AREN.

Final authority for the determination of violation of the AREN Acceptable Use Policy and subsequent penalty rests with the ASA Board of Directors. It is the responsibility of member representatives to contact ASA, in writing, regarding questions of interpretation. Until such issues are resolved, questionable use should be considered "not acceptable".

6.11.4 Software

The following software policy was developed by a faculty committee and has been approved by the University Deans and President as a University policy.

The reproduction and use of computer software on University equipment or by University employees or students in pursuit of University business or instruction shall be in accordance with copyright law (as set forth in Title 17, United States Code) and the manufacturer's condition of sale. Specifically:

- No University employee or student shall reproduce or allow the reproduction of software in violation of copyright law or the conditions of sale;
- No University employee or student shall accept or use software which is not known to be provided in accordance with copyright law or conditions of sale;
- It is the individual responsibility of each user to determine that the use of software is in accord with this policy.

1. Guidelines

The policy stated above applies to:

- The use of copyrighted or licensed software by University departments and employees on University equipment;
- The use of software purchased with University funds on non-University equipment;
- The use of software for instructional purposes.

The University interprets the copyright laws and manufacturers' terms of sale as described below:

- **Back-up copies:** You may make as many back-up copies as are necessary to protect your software in the event your original fails. Such copies are NOT to be used simultaneously on another machine. The law permits you to make such back-up copies even if the manufacturer does not provide you a process to make one.
- **Multiple-loading or booting from one disk into multiple machines at the same time:** You may not simultaneously load one copy of a copyrighted program into a number of different machines, even if it is physically possible. Although you may use your legal copy in different machines at different times (so that you are only using one copy at a time), you may not permit multiple concurrent uses of the package. It would be legal to load and run it on one computer, turn that computer off, and then run it on another computer. For example, WordPress is sold for use on one computer, but it is possible to sequentially load it into a number of different computers and then run them at the same time. This is a

clear violation of the law; you have caused the “proliferation of simultaneous users” (the legal term for this process). The fact that it is physically possible is irrelevant.

- **Networks:** The concept of “proliferation of simultaneous users” also applies to networks. Unless you purchased the software with an explicit “network license”, downloading the program to multiple stations at the same time violates the copyright law. As in the preceding example, the fact that it is physically possible to download the software on your network is irrelevant.

2. Instructional Responsibilities

Academic departments and individual course instructors should take measures to ensure that students are informed of the legal and ethical issues regarding software copyrighting, as well as University policy on this matter. As a minimum, departments should:

- Post the University policy regarding software copying in a conspicuous location adjacent to any departmental microcomputers which may be accessible to students;
- Include a statement of the University policy in syllabi for courses using microcomputers;
- Read and explain the University policy in any classes using microcomputers.

3. Use of Software in Course Work

Departments and individual faculty are responsible for insuring that any copyrighted software made accessible to students be done so in accordance with University policy and all legal requirements. Specifically, faculty shall be careful to respect the following points:

- Neither departments nor faculty shall impose requirements which would encourage students to copy software in violation of University policy. Instructors shall not make assignments without verifying that a sufficient quantity of legal copies of software will be readily accessible to students for the completion of course assignments.
- Difficulty or expense involved in acquiring sufficient copies does not constitute a reason for violating University policy.
- Any copyrighted software made accessible to students shall bear the following statement conspicuously placed on both documentation and physical media (University Computer Center will provide labels for this purpose on request):

This software is issued subject to University policy and may not be copied for any purpose whatsoever. Violation of this policy may lead to either disciplinary or legal action.

- Software placed on course reserve in the University libraries, computer laboratories, or other campus sites must be in compliance with University software policy. Forms to certify compliance are available at Library circulation units.

6.11.5 Summary

All persons using the University of South Alabama computing and telecommunication resources must comply with the Computer Use Policy.

The policy applies to all computer workstations, servers, network devices, software, databases, and related equipment accessed directly or indirectly through the Internet. The University encourages authorized users to make acceptable use of computer resources, consistent with its educational, research, and service-related mission. Users must also comply with all applicable federal and state laws and University regulations regarding intellectual property, including federal copyright law, and with all applicable licenses or contracts regarding the use of software.

In situations where access to computer resources is limited, priority use of these resources must be granted to educational and research-related activities. Recreational and personal use of University computer resources is permitted only to a limited extent and only when they are not needed for educational research activities.

Certain uses of University computer resources are never permitted. These include the following:

- Interfering with the operation of the University's computer and telecommunications systems, including "hacking" or "cracking;"
- Altering or damaging computer hardware or software;
- Transmitting obscene communications;
- Using unauthorized passwords or circumventing system security;
- Broadcasting unsolicited messages ("spamming");
- Invading the privacy of another person;
- Using University resources for personal, commercial or financial purposes, including the sales of lecture notes or the intellectual property of others;
- Intentionally viewing, downloading, printing or sending unlawful material, including pornography, threats, or harassing communications.

Users are responsible for the accuracy of all information posted on the Internet or on University-related home pages. In addition, any University web site must be consistent with

the guidelines of the University's Department of Web Services, which can be found at <http://www.southalabama.edu/webservices/webpolicies.html>.

The foregoing is a summary of key points of the official University of South Alabama Computer Use Policy. The full text of that policy can be found at <http://www.southalabama.edu/csc/policies>, and users are expected to be familiar with it. Violation of the terms of the policy can result in denial of privileges, and other penalties as outlined in the policy. If there are any differences between this summary and the official policy, the terms of the policy shall supersede this summary.

7.0 FACULTY RESEARCH

7.1 Research Mission

The University of South Alabama is a comprehensive public institution which recognizes the expansion of knowledge is central to the functioning of any university. The University of South Alabama encourages and supports basic and applied scholarship as well as instructional scholarship for the purposes of increasing knowledge, enhancing classroom instruction, and contributing to the personal and professional development of students, faculty, alumni, and the immediate and extended community served by the University. Scholarship is broadly defined to include all investigative efforts that lead to the origination, integration, application and transfer of knowledge pertinent to the various disciplines and expertise within the University community. A program of sustained scholarship is the responsibility of each faculty member. The University is responsible for using its resources and processes to encourage, support, and reward scholarship.

Basic scholarship includes both original and integrative works. The University promotes original investigations that seek to increase human knowledge and experience in all fields of expertise within the University. Integrative works seek to combine and extend what is known in the various disciplines in new and useful ways by discovering linkages between known, causal, intervening, and outcome variables.

Applied scholarship includes efforts seeking to find solutions to problems in society while simultaneously contributing to the improvement of practice within each discipline, and among disciplines in an interdisciplinary context. This will be accomplished by applying the results of original and integrative works to practical problems within and among the disciplines.

Instructional scholarship enhances the educational value of teaching within and beyond the University through the integration of current basic and applied scholarship with classroom instruction. This may include, but is not limited to, peer-reviewed scholarly activities such as authoring textbooks. Although each faculty member has a primary responsibility for the design and conduct of scholarly activities, the University endeavors to encourage scholarly activity in a variety of ways including providing incentives, facilities, funding, and reassigned time to faculty. In addition, the University rewards scholarly activity on the part of the faculty through the systematic consideration of such scholarship within the context of tenure, promotion, and merit pay decisions.

7.1.2 Interdisciplinary Incentive Plan

The USA Interdisciplinary Incentive Program replaces the USA Incentive Plan (formally VPIP). This new program was created to support faculty in seeking funding for research

across disciplines. A total of \$3,000 will be provided to Principal Investigator(s), PI(s), and Co- Investigator(s), Co-I(s), for each funded proposal that complies with the eligibility requirements below. The term “Interdisciplinary” is defined as projects that cross departments and discipline areas.

Who is Eligible?

Full-time, USA faculty, including non-tenure-track faculty and instructors.

What Are the Eligibility Requirements for Proposals and Award Support Funds?

- Must be a new, competitive proposal. Non-competing continuation, competing renewal, and supplemental applications are not eligible. This program supports new projects only.
- Must be for research, teaching, or training.
- Sponsor must be a federal agency or from private industry.
- Must project at least \$100,000 direct costs annually on the average in direct costs for the total budget period.
- May be a subcontract let from an award from another (prime) organization (Incentive funding will not be distributed to a PI or Co-Investigator from another institution).
- Must include at least two investigators from different disciplines.

How Do I Apply?

- To be eligible for the award incentive, the proposal must be reviewed, and certified as reviewed by both the department chair and the college dean’s signature. The review should take place in sufficient time for revisions to be made prior to submission to Sponsored Projects Administration (SPA). Once this is done, the PI(s) must indicate how the \$3,000 incentive funds should be allocated on the USA/SPA Transmittal Sheet.

How May These Funds Be Used?

- The funds may be (1) included in the recipient’s paycheck as a one-time payment; **or** (2) they may be forwarded to the dean’s office and further allocated to the PI(s) departmental account, or held in trust in the dean’s office where the PI(s) may use the funds for travel, small instrumentation, supplies, or any appropriate purchase that would support the research or teaching mission of the University.

This program can expire at any time following a three-month advance notification.

7.1.3 Internal Research Support

The University encourages scholarship performed or guided by the faculty by budgeting funds for internal research grants to faculty members. These funds are managed and their use monitored by the Faculty Development Council. Applications for funds for creative arts and applied research as well as pure research are considered.

Department chairs and deans should be consulted in advance on all research commitments of any magnitude, and kept informed of research progress, achievements, and future plans. Encouragement will be given to projects considered consistent with the policies and plans of the department(s) of the college(s) in which the research will be conducted. The work would normally be expected to relate to the faculty member's usual university duties and contribute to the effectiveness of regular academic work.

Procedures for preparation, review, and operation of internally funded research projects have been established by the Faculty Development Council. To encourage a wide range of well planned research projects by all qualified faculty, the Council evaluates all applications individually. Proposals must include clear statements of objectives, techniques, and data to be used and evidence that the project will contribute to knowledge and that the investigator is fully qualified to undertake it. Compliance is required with Council instructions and regulations, which are accepted by researchers as part of the terms of the grants. Funds may be expended as approved by the Council for a wide variety of costs designated by researchers and approved by the Council for completion of a specified project.

Further information on the Internal Research Support program and forms are available through the Graduate School:

<http://www.southalabama.edu/graduateprograms/research.html>.

7.2 Sponsored Research

7.2.1 Mission

The scholars at the University of South Alabama promote an environment in which curiosity and discovery are encouraged. Within this culture, the University can respond to our citizens and global issues with bold ideas infused with creative energy. The outcomes are high-quality research and scholarship, new information and opportunities, the transformation of traditional disciplines, new partnerships, the formation of emerging fields of inquiry, and innovation for societal applications.

The *Definition of Sponsored Projects* is available on the Vice President for Research website: <http://www.southalabama.edu/vpresearch/policies.html>.

7.2.2 Organizational Chart

The offices under the Office of the Vice President for Research include the Sponsored Programs Office (pre-award sponsored programs), Grants Administration Office (post-award sponsored programs), Technology Transfer Office, and the Technology & Research Park Office.

The organizational chart for the Office of the Vice President for Research is available at: <http://www.southalabama.edu/vpresearch/pdf/RsrchAdminChart.pdf>.

Quick Policy Reference

Animal Care and Use Policy	http://www.southalabama.edu/researchcompliance/animalcare.html
Biosafety	http://www.southalabama.edu/researchcompliance/biosafety.html
Definition of Sponsored Programs	http://www.southalabama.edu/vpresearch/policies.html
Export Control Policy	http://www.southalabama.edu/vpresearch/policies.html http://www.southalabama.edu/researchcompliance/exportcontrol.html
External Professional Activities (Consulting) for Pay Form	http://www.southalabama.edu/vpresearch/policies.html
Financial Conflict of Interest / Conflict of Commitment Policy	http://www.southalabama.edu/vpresearch/policies.html
Human Subjects	http://www.southalabama.edu/vpresearch/policies.html http://www.southalabama.edu/com/research/humansubjects.shtml
Responsible Conduct of Research	http://www.southalabama.edu/vpresearch/policies.html http://www.southalabama.edu/researchcompliance/responsible.html
Standards in the Conduct of Research	http://www.southalabama.edu/researchcompliance/standards.html

Copyright Policy	http://www.southalabama.edu/vpresearch/policies.html
Equity Policy	http://www.southalabama.edu/vpresearch/policies.html
Patent and Invention Policy	http://www.southalabama.edu/vpresearch/policies.html

7.2.3 Animal Care and Use Policy

The University of South Alabama recognizes the importance of animals in research and teaching and the responsibility of the University in assuring their proper care and treatment. The University is committed to minimizing pain and distress in all animals used in research and teaching.

Further information, policies, and procedures are located on the Office of Research Compliance and Assurance website:

<http://www.southalabama.edu/researchcompliance/animalcare.html>.

7.2.4 Biosafety

The Institutional Biosafety Committee (IBC) is responsible for monitoring and ensuring compliance as well as review and approval of all research projects that involve infectious agents, recombinant DNA materials, including human gene therapy/gene transfer protocols. IBC's were established under the *NIH Guidelines for Research Involving Recombinant DNA Molecules* to provide local review and oversight of nearly all forms of research utilizing recombinant DNA. The University's IBC is charged with the responsibility of reviewing a variety of experimentation that involves biological materials (e.g., infectious agents) and other potentially hazardous agents (e.g., carcinogens). The University of South Alabama's biosafety policy mandates review of all potential bio-hazardous agents (including human blood/cell lines/tissues) and recombinant DNA research.

Further information, policies, and procedures are located on the Office of Research Compliance and Assurance website:

<http://www.southalabama.edu/researchcompliance/biosafety.html>

7.2.5 Export Control Policy

The Office of Research Compliance and Assurance assists the Department, College, or Unit and the Principal Investigator in determining the appropriate export control management and, if the sponsored project is export control restricted, in determining security measures needed to prevent unlawful export of export controlled software, technology, or technical data to foreign nationals or foreign persons without an appropriate license or other government approval.

Procedures have been established in connection with sponsored projects subject to International Traffic in Arms Regulations (ITAR), Export Administration Regulations (EAR), Office of Foreign Assets Control (OFAC) Regulations or other applicable export control regulations.

Further information, policies, and procedures are located on the Vice President for Research website and the Office of Research Compliance and Assurance website:

<http://www.southalabama.edu/vpresearch/policies.html>

<http://www.southalabama.edu/researchcompliance/exportcontrol.html>

7.2.6 Consulting Activities under Contracts and Grants

Consultation is defined in the section as professional services undertaken for personal compensation beyond the payment of a nominal honorarium or reimbursement of expenses. When the University is awarded contracts/grants which provide for the use of consultants, university personnel may be used in such a capacity and be paid a consulting fee, if such a practice is approved in writing, in advance, by the funding agency. It is expected that intra-university consultants will be employed only when: 1) consultants are considered to be the most available (time and place) experts in the field; 2) consultants are drawn from disciplines other than that represented by the institute or project; and 3) consultants efforts are beyond their normal/usual university commitments. Compensation for such consultation will be based on a rate not to exceed the current base rate for that person and cannot exceed 20% of an individual's 12 month salary. No person with the administrative title of chair or above may receive consulting fees from an on-campus activity without prior approval of the Senior Vice President for Academic Affairs, the Vice President for Health Sciences, or other appropriate administrative officers.

The general University policy on types of consulting activities is located in Chapter 4, Section 4 of the Faculty Handbook.

Further information and forms on External Professional Activities are located on the Vice President for Research website: <http://www.southalabama.edu/vpresearch/policies.html>.

7.2.7 Financial Conflict of Commitment/Conflict of Interest Policy

Interactions with federal sponsors, state sponsors, industry sponsors, foundations, and professional associations serve the academic, research and public service missions of the University. The experience and enhanced national status that accompany such interactions are shared both directly and indirectly by the University. These outside activities contribute to the richness and diversity of the University academic enterprise. In this environment, there are expanded opportunities for employees of the University to engage in financially rewarding external professional and entrepreneurial activities. At the same time, there is a heightened sensitivity to questions of professional ethics and objectivity in research.

Situations arise in which there may be a divergence, real or perceived, between the private interests of the Employee and those of the public and of the University. These situations may produce a potential Financial Conflict of Interest and have the potential to bias the conduct of the activity or research.

The policy and forms on Financial Conflict of Interest/Conflict of Commitment are available on the Vice President for Research website:

<http://www.southalabama.edu/vpresearch/policies.html>.

7.2.8 Human Subjects

The University of South Alabama holds its faculty to the highest standards for respecting the rights and welfare of persons involved as subjects of research. This includes the responsibility of faculty to supervise their students' research. The Office of Research Compliance and Assurance administers and enforces University-wide procedures for protecting human research subjects. At the core of these procedures is the Institutional Review Board (IRB) charged with reviewing research involving human subjects.

Further information, policies, and appropriate institutional forms are available on the Vice President for Research website and the Office of Research Compliance and Assurance website:

<http://www.southalabama.edu/vpresearch/policies.html>

<http://www.southalabama.edu/com/research/humansubjects.shtml>

7.2.9 Responsible Conduct of Research

The University of South Alabama promotes responsible research practices, including ongoing education for all research investigators, their staff, and students in the following areas:

- Roles and responsibilities of faculty and administrative units
- Data acquisition, management, sharing, and ownership
- Mentor/trainee relationships
- Publication practices and responsible authorship
- Peer review
- Collaborative science
- Human subjects
- Research involving animals
- Research misconduct
- Conflict of interest and commitment
- Export Controls
- Biological Agents

Further information, policies, and procedures are located on the Vice President for Research website and the Office of Research Compliance and Assurance website:

<http://www.southalabama.edu/vpresearch/policies.html>

<http://www.southalabama.edu/researchcompliance/responsible.html>

7.2.10 Standards in the Conduct of Research

The University of South Alabama is committed to fostering a culture in which the highest ethical standards in the conduct of research and other scholarly activities are expected. Misconduct in research is a concern to scholars, institutions conducting sponsored projects, funding agencies and the general public. Research misconduct includes, but is not limited to, fabrication, falsification or plagiarism, in proposing, seeking support for, performing, or reviewing research, or in reporting research results. Research includes all forms of sponsored and non-sponsored scholarly and creative work by University employees and students and by individuals who use University facilities for the creation, dissemination, and publication of scholarly work. It is incumbent upon all members of the University community to practice and to promote ethical behavior. The faculty, collaborating staff, and students are primarily responsible for maintaining integrity in the quest of and dissemination of knowledge.

Further information, policies, and procedures are located on the Office of Research Compliance and Assurance website:

<http://www.southalabama.edu/researchcompliance/standards.html>

7.2.11 Copyright Policy

The University of South Alabama supports full adherence to federal intellectual property law and recognizes the value of this system in furthering its mission of teaching, research and service. The creation and dissemination of knowledge through all means of tangible expression advances the professional development of faculty, broadens educational opportunities for students, enhances the University's reputation and resources, and furthers the public good. Tangible expression of works by members of the University community results in copyright protection for those works.

The copyright policy is designed to promote tangible creative expression of works, to preserve academic tradition regarding scholarly works, to provide for equitable distribution of rights, revenues and other benefits arising from copyrights, and to establish guidelines for the management of copyrightable works made by members of the University of South Alabama community.

Further information and policy are located on the Vice President for Research website:

<http://www.southalabama.edu/vpresearch/policies.html>.

7.2.12 Equity Policy

In the course of fulfilling the University's research and educational missions, a faculty or staff member (hereafter referred to as inventor) may create valuable intangible property that may have the potential to benefit society and further the University's educational goals. This property may include patentable inventions, copyrightable works, and unpublished know-how (hereafter referred to as University-owned intellectual property assets, or assets). As they emerge from the University's inventors, many of these assets are considered early stage. Accordingly, financial resources and management expertise outside of the University may be required to move these assets to the marketplace in the form of licensed products and/or services. The University seeks to avail itself of these external resources and expertise by forming new business entities based on these assets, commonly known as start-up companies.

During the course of managing, protecting, and commercializing University-owned intellectual property assets, the University's Office of Technology Transfer (OTT) will occasionally find that an existing company does not have the interest, capability, or financial resources to move these assets to the marketplace. There are times when the market truly dictates that a start-up company should be formed around a collection of University-owned intellectual property assets.

There are circumstances involving start-ups that can result in unmanageable financial conflicts of interest for the inventor and the University. For both parties, the potential for conflicts arises from the issuance of equity by the start-up (licensee) company. In this situation, the start-up company issues founders' equity to the inventor in exchange for his/her serving as a management partner in the venture. Founders' equity is generally issued as common stock, and although there may be different vesting parameters for various founders, all have similar shareholders rights. The amount of founders' equity issued is generally outlined in an agreement between the inventor and other founders.

Further information and policy are located on the Vice President for Research website: <http://www.southalabama.edu/vpresearch/policies.html>.

7.2.13 Patent and Invention Policy

The Patent and Invention Policy further the University's mission of teaching, research, and service. The University advances its mission in part by generating knowledge through research. The development of inventions is not a necessary and final product or even a purpose of research but may be an important outcome with significant public benefit. The transfer of inventions to the private sector, and the securing of patents when appropriate provides the means for disseminating these new discoveries to the general public through the free enterprise system.

This policy is designed to expand the research enterprise of the institution; encourage the practical application of inventions made through research; establish guidelines for the management of those inventions: provide equitable distribution to inventors of rights, revenues, and other benefits arising from the commercialization of inventions; increase opportunities for economic development; and return to the public the fruits of university-based research.

Further information and policy are located on the Vice President for Research website: <http://www.southalabama.edu/vpresearch/policies.html>.

8.0 STUDENT POLICIES

8.1 Final Course Grade Grievance Procedure

A final grade grievance is defined as a student complaint regarding an academic action taken by instructional personnel in assigning a final grade for a course, qualifying, or comprehensive exam. In addition to complaints against a particular instructor, students may also file complaints against a committee concerning academic evaluations that adversely affect them (i.e., the grade given on a comprehensive examination or a thesis or dissertation final oral exam.) Normally, such complaints can be resolved quickly through discussions with the faculty member involved. In some situations the matter cannot be satisfactorily resolved at that level. For such cases, a student may file a formal final grade grievance using the procedures specified below. **(Note that while a grievance may be filed against a committee, the term “instructor” is used throughout the following description of procedure to refer to the person or entity against whom the grievance is brought.)**

For a complaint about a final course grade or other academic evaluation to be considered, the complaint must be based on one or more of the following grounds and upon allegation that the ground(s) cited influenced the grade assignment to the student’s detriment:

1. Arithmetical or clerical error
2. Arbitrary or capricious evaluation on the part of the instructor
3. Substantial failure on the part of an instructor to follow the course syllabus or other announced grading policies
4. Extraordinary mitigating circumstances beyond the student’s control.

Students may not file a grade grievance until a final grade is received in a course. This procedure may not be used to complain about an instructor’s grading policy, assignments, the difficulty of a course, or other comparable matters. Finally, students may not file a grievance about a final course grade that was assigned as the result of an academic misconduct procedure.

A Final Course Grade Grievance must be filed no later than 20 class days into the succeeding semester to include summer term if the student is enrolled. **Note: the term “class day” as used in this document means any weekday (Monday-Friday) during which the official University of South Alabama calendar indicates that classes are in session.**

8.1.1 Meet With Instructor

As a prerequisite to filing a grievance and within the time frame allowed for filing a formal grade grievance (no later than 20 class days into the succeeding semester to include the summer term only if the student is enrolled), the student must attempt to resolve the

matter with the instructor. In some cases, the student may make reasonable attempts to contact the instructor and be unsuccessful. If the student is unable to contact the instructor, this should be documented in writing by the student and the student must submit the written documentation to the instructor's department chair (or dean if the department chair is either the party to the grievance or unavailable). In the absence of the instructor, the department chair/dean will act in the instructor's stead.

8.1.2 Filing the Grievance Form

A Final Grade Grievance Form must be filed by the student no later than 20 class days into the succeeding semester (including summer if enrolled.) A blank Final Grade Grievance Form may be obtained on the University's website www.southalabama.edu/, or from any departmental office, any college dean's office, or the Office of Student Affairs. Page One of the Final Grade Grievance Form must be completely filled out and turned into the chair of the department in which the course is taught or the academic evaluation took place. The form will be dated and signed by both the department chair and the student and a copy given to the student.

If the department chair is the party against whom the grievance is being brought, the student should submit the Final Grade Grievance Form to the dean of the college in which the course is taught or the academic evaluation took place. In the event that the grievance is against the dean who is the instructor, the student should submit the Final Grade Grievance Form to the Senior Vice President for Academic Affairs.

8.1.3 Grievance Facilitator

The department chair will facilitate the grievance process unless replaced as follows:

- * If the department chair is the party against whom the grievance is being brought, the dean will then appoint another department chair to facilitate the grievance process.
- * If the dean is the party against whom the grievance is being brought, the Senior Vice President for Academic Affairs will appoint an individual to facilitate the grievance process.

8.1.4 Initial Grievance Review

The department chair will arrange a conference with the student and the instructor involved to attempt resolution of the grievance. The department chair should schedule a conference within ten (10) University class days of receipt of the Final Grade Grievance form.

For grievances filed during the summer term, instructors on 9-month contracts may not be available for a conference. In these circumstances, the department chair may schedule the conference during the following fall semester, unless the delay would unfairly penalize the student's progress in the program.

Prior to the conference, the facilitator will ensure that both the student and instructor involved have copies of the grievance procedure. The instructor will be given a copy of the Final Grade Grievance Form filed by the student and will be allowed to examine any supporting documentation. Both parties will be informed that the purpose of the meeting is to attempt to resolve the grievance.

If a mutually satisfactory resolution is achieved during the conference, the process will end and no further action will be taken. A record of the outcome of the conference will be filed along with the Final Grade Grievance Form in the department chair's office and the dean's office.

If a successful resolution is not achieved at the conference, the department chair will conclude the conference. The department chair will advise the student that he/she has the right to accept the original grade given or to request a hearing before the College Grade Grievance Committee. The student must request a hearing within two (2) class days of the conclusion of the conference otherwise the final course grade will stand and the student will forfeit the opportunity to appeal the grade to the Final Grade Grievance Committee. The student's decision should be noted on the Final Grade Grievance Form. If the student accepts the grade at that point, the process ends and the form serves as a record of that acceptance. If the student requests a hearing, the department chair will notify the dean's office within three (3) class days of the conclusion of the conference. The dean will then notify the Chair of the College Grade Grievance Committee of the need for a hearing and transfer the case documentation to the Chair within five (5) class days.

8.1.5 College Grade Grievance Committees

The dean of each College/school will appoint annually an Undergraduate and a Graduate Grade Grievance Committee. The Undergraduate Grade Grievance Committee will hear grade grievances of undergraduate students and the Graduate Grade Grievance Committee will hear grade grievances from graduate students.

A minimum of five faculty members and one alternate member shall be appointed from the full time faculty to each College Grade Grievance Committee. Faculty members must serve if appointed. Faculty appointed to the Graduate Grade Grievance Committee must hold graduate faculty status. A minimum of two students from the College will also be appointed by the Dean of the College to each committee. Students appointed to the Undergraduate Grade Grievance Committee will be undergraduate students. Students appointed to the Graduate Grade Grievance Committee will be graduate students.

The Dean will review the Grade Grievance Committee membership prior to a hearing to determine members who may have a conflict of interest. No member of the instructor's department shall serve on the committee. Likewise, should a member of the Committee be

a party to the grievance to be heard, an alternate should serve in their stead and they should absent themselves from any discussion of the grievance in which they are involved.

The Dean will appoint the chair and vice chair of the Grade Grievance Committee and will convene the appropriate Committee prior to a hearing to review the grade grievance process and answer any questions regarding the policy. Four faculty members and one student will constitute a quorum. The vice chair will preside in the absence of the chair. Majority rule will apply to decisions, with the student members having full voice and vote.

8.1.6 Grade Grievance Committee Hearing

Upon receipt of the materials and request for a hearing, the Chair of the Grade Grievance Committee will conduct a hearing within ten (10) class days of the receipt of the request. The College Grade Grievance Committee hearing process will afford both parties the right to submit any documentation, supporting witnesses, or relevant information at the hearing. Legal representation at the hearing is prohibited. The Committee will review the evidence presented by both parties, interview both parties, and make a decision in the grade grievance. Decisions may: uphold the grade given or academic action taken, or find the grievance is valid and assign a new final course grade or impose another appropriate action. The student, instructor, department chair, and dean will be notified in writing of the Committee's decision within three (3) class days of the conclusion of the hearing.

8.1.7 Appeal

The only grounds for an appeal are violation of due process or the rendering of a decision that is in conflict with a university policy. Either the student or the instructor may appeal the Committee's decision to the dean of the college in which the course is taught or the academic evaluation took place. The appeal must be in writing and must be made within ten (10) University class days of notification of the Grade Grievance Committee's decision. The dean will review the evidence presented to ensure that the Grade Grievance Policy was followed, that due process was provided, and that the decision of the committee is consistent with University policies. If the dean determines errors were made in the process or the decision rendered is inconsistent with university policies, the decision will be rescinded and the grievance will be sent back to the committee for corrective action.

The student, the instructor, and the department chair will be notified, in writing, of the dean's decision regarding the appeal within ten (10) class days following receipt of the appeal. The dean's decision is final and no further appeal is allowed.

8.1.8 Implementation of Grievance Outcome

The department chair will implement the outcome(s) of the grievance conference or appeal, as required, at the conclusion of the grievance procedure.

8.1.9 Confidentiality

Throughout the entire procedure, from filing of a formal complaint to final resolution, all information related to the grievance must be kept confidential. Once a final decision has been made and implemented, the original copy of the completed Final Grade Grievance Form and related Grievance documentation will be placed in the official, confidential Grievance File of the department or other academic unit in which the grievance was recorded, for a minimum of five (5) years.

8.1.10 Summary

The following summarizes the timeline and procedures for a Final Grade Grievance.

1. A final course grade grievance cannot be filed until a grade has been received in a course. A Final Grade Grievance Form must be filed by the student no later than 20 class days into the succeeding semester to include summer term if the student is enrolled.
2. Prior to filing a grade grievance the student must meet with the instructor to attempt resolution. If the instructor is unavailable the student documents attempts to contact the instructor in writing. The student contacts the instructor's department chair in the event a meeting with the instructor cannot be arranged. If there is no resolution, proceed to step 4.
3. The student completes a Final Grade Grievance Form files the form with the department chair within the required time frame.
4. A facilitated grievance conference with both the student and instructor present is conducted by the department chair within 10 class days of receipt of the Final Grade Grievance Form.
5. If a resolution is reached in the grievance conference, resolution will be noted and the process ends.
6. If the student requests review by the College Grade Grievance Committee, the department chair will forward all materials within three days of the request to the dean's office. The dean will then have five (5) class days to notify the appropriate College Grade Grievance Committee (i.e. the Undergraduate Grade Grievance Committee if the student is an undergraduate student or the Graduate Grade Grievance Committee if the student is a graduate student.)

7. The Grade Grievance Committee holds a hearing within ten (10) days of receiving the request from the dean. The student and the instructor will be provided opportunity to present evidence and supporting materials.
8. The Committee's written notification of their decision is made within three (3) class days to the student, instructor, department chair, and dean. The department chair will implement the decision if there is no appeal.
9. The student or instructor may appeal the Committee's decision to the Dean within ten (10) class days. The only grounds for an appeal are violation of due process or the rendering of a decision that conflicts with university policy. The decision of the Dean regarding the appeal is final and the process will end.

8.2 Student Academic Conduct Policy

Policy effective for alleged misconduct occurring after October, 2014.

As a community of students and scholars, the University strives to maintain the highest standards of academic integrity. All members of the community are expected to exhibit honesty and competence in academic work. This responsibility can be met only through earnest and continuing effort on the part of all students and faculty.

Any dishonesty related to academic work or records constitutes academic misconduct including, but not limited to, activities such as giving or receiving unauthorized aid in tests and examinations, improperly obtaining a copy of an examination, plagiarism, misrepresentation of information, altering transcripts or university records. Academic misconduct is incompatible with the standards of the academic community. Such acts are viewed as moral and intellectual offenses and are subject to investigation and disciplinary action through appropriate University procedures. Penalties may range from the loss of credit for a particular assignment to dismissal from the University. Degree revocation may be warranted in cases involving academic misconduct by former students while they were students at USA. Note that dismissal from any University of South Alabama college or school for reasons of academic misconduct will also result in permanent dismissal from the University. Faculty, students, and staff are responsible for acquainting themselves with, adhering to, and promoting policies governing academic conduct.

The Office of the Senior Vice President for Academic Affairs (SVPAA) will maintain a permanent record of all Academic Misconduct penalties involving Level I, Level II, and Level III cases that is known as the Academic Misconduct Penalty Record. The record will include the student's name and student number; course title, section and instructor (as appropriate); semester in which the misconduct occurred; type of misconduct; penalty imposed; and student's major(s) at the time the penalty was imposed.

Upon receipt and recording of information regarding penalties imposed as above, the SVPAA will determine if the student has been found responsible for any previous incident(s) of academic misconduct. If a previous instance of academic misconduct has occurred in Level I or Level II cases, the SVPAA will notify the Dean of the college of the student's major. The Dean will then determine whether an additional and higher level charge of Academic Misconduct is warranted and should be brought against the student. In Level III cases, the SVPAA will notify the chair of the University Academic Standards Committee to convene the committee to determine if a more severe penalty is warranted.

The Academic Misconduct Penalty Record will be used for the purpose of determination and evaluation of repetition of academic misconduct and if appropriate, for charging the student with an additional charge of Academic Misconduct. The information contained in the Academic Misconduct Penalty Record will not be available to the course instructor. College level and University level Academic Standards Committees and/or their members will not have access to information contained in the Academic Misconduct Penalty Record prior to the conclusion of the case, including completion of appeals, if any. The only circumstance in which an Academic Standards Committee and/or its members will have access to information in the Academic Misconduct Penalty Record is if the Committee(s) is/are charged by the Dean or SVPAA to consider whether a more severe penalty is warranted in cases where it has been determined that another act of academic misconduct has occurred.

All matters related to academic misconduct are the responsibility of the academic units involved and the Office of the Senior Vice President for Academic Affairs. These matters will be resolved through procedures defined herein for both graduate (except the College of Medicine) and undergraduate students.

8.2.1 Definitions

The term "student" is used in this Policy to refer to one or more student(s) as appropriate to the case. The term "class day" refers to a weekday (Monday through Friday) excluding holidays, during which the offices of the University are open and the classes of the full term are in session, excluding final examination periods. The term "college" refers to colleges, schools, and academic divisions of the University.

8.2.2 Committees

1. College Academic Standards Committee

Each college shall have a Collegiate Undergraduate Academic Standards Committee (CUASC). Those colleges offering graduate programs, or graduate course work, shall also have a Collegiate Graduate Academic Standards Committee (CGASC).

For the CUASC, each college shall appoint four (4) full-time faculty members, plus one (1) full-time faculty member designated as an alternate, and two (2) upper-division

student members. The CUASC shall be constituted early in the Fall Semester of each year.

For the CGASC, each college shall appoint four (4) graduate faculty members, plus one (1) graduate faculty member designated as an alternate, and two (2) graduate student members. The CGASC shall be constituted early in the Fall Semester of each year. Should a college have fewer than five (5) graduate faculty members, each eligible faculty member will serve on the CGASC, and the SVPAA shall appoint additional qualified members from other colleges to complete the CGASC.

2. University Academic Standards Committee

The University Academic Standards Committee (UASC) shall be composed of five (5) faculty members and one (1) alternate, at least four of whom are graduate faculty, and two (2) students, one graduate and one upper-division undergraduate. In addition the Faculty Senate will nominate one Faculty Senate member to serve on this committee. The UASC shall be appointed each Fall Semester by the SVPAA.

3. Committee Authority

Committees may prescribe penalties, sustain penalties, reduce penalties including reduction to no penalty, or dismiss charges, as appropriate to the case. However, when acting on an appeal request, a committee may not increase the severity of the previously prescribed penalty.

8.2.3 Procedures

In cases of alleged academic misconduct, the hearing committee will make every effort to maintain confidentiality of all parties during the process. Information regarding the case is generally considered an educational record and is therefore only released to other institutional officials who have a legitimate educational interest or as otherwise required by law.

This policy recognizes three levels of academic misconduct (see the following identification of levels I, II, III). The college in which a Level I case is heard shall normally be the college in which the misconduct occurred, not necessarily the college of the student's major program. A Level II case will normally be heard in the college of the student's major program. A Level III case will normally be heard by the University Academic Standards Committee.

The committee chair will be elected by the committee. The chair shall maintain complete, confidential records of all proceedings, including minutes of all hearings held regarding the case. Neither minutes nor recordings will be made of committee meetings when deliberations occur.

Neither the student nor the faculty member involved shall have representation, including legal representation, during meetings with the student, the presentation of the case or during the appeal process. However, legal assistance in preparing a defense or statement for presentation to the committee is permissible.

The committee will confirm its decision by vote. The chair of the committee will not vote except in case of a tie. After a decision is rendered, an appeal may be requested (see section under **Appeal**). The only grounds for appeal are the alleged lack of due process in the case or alleged unlawful/prohibited discrimination against the student in the hearing/consideration of the case (hearing process).

All penalties must be within the authority or purview of the involved unit. For example, an instructor may impose a penalty of failure in a course where cheating is involved, but the instructor may not dismiss the student from the program.

A student accused of academic misconduct, or involved in the appeals process for alleged academic misconduct, will not be allowed to withdraw from a class(es) related to the charge of academic misconduct until the charges, penalties and/or appeals have been resolved through the process described below. The student must be allowed to remain in or complete the class(es) until the case is resolved. The student may not withdraw from a class(es) in which a penalty is pending for academic misconduct.

The three levels of misconduct consideration in this Policy are as follows:

Level I - Cases Limited to a Specific Class and/or Instructor

- When an instructor discovers an act of academic misconduct, the student involved shall be informed verbally or in writing of the alleged violation.
- If the instructor decides to impose a penalty, the instructor shall prepare a dated, written statement describing the alleged violation and the recommended penalty, along with a copy of the Student Academic Conduct Policy. The instructor shall either mail the statement with attachment by U.S. mail with Return Receipt Requested or hand deliver the statement with attachment to the student and ask the student to sign for receipt of the statement. A copy of the written statement will be submitted to the department chair. The instructor will also request that the department chairperson immediately notify the registrar to block the student from withdrawing from the course. At any point in the process in which it is determined that the student has not committed the alleged academic misconduct, the block will be removed.

- The student has ten (10) class days from receipt of the written notification from the instructor to submit a written response to the instructor. Failure of the student to respond in a timely manner (not to exceed ten (10) class days from receipt of the notification) will be considered as agreement by the student with the misconduct charge and acceptance of the imposed penalty. The instructor will inform the student in writing of the penalty, to be delivered to the student via U.S. mail (Return Receipt Requested), or hand delivery with student requested to sign for its receipt. If the student responds to the notice with a written denial of the charge, the department chair will be notified and a review conference will be arranged. If the student does not respond in writing with denial of the charge, the instructor will submit a report of the penalty using the Standard Form: Academic Misconduct Penalty Record (AMPR) to the departmental chair who will in turn forward it through the dean of the college to the SVPAA.
- At any stage in the Level I process, the department chair may decide that the alleged misconduct is of such a serious nature as to warrant inquiry beyond the Level I proceeding and to refer the case to the College Academic Standards Committee (Level II) for disposition.
- **Academic Standards Case Review Conference** - Upon receipt of the written denial of the instructor's charges, the following procedure applies (in the event the department chair is the accuser, the college dean shall perform the functions ascribed below to the chair):

Within ten (10) days of receipt of the student's written denial, the department chair shall arrange a conference to be held as soon as practicable.

The conference shall be conducted by the chair with the student and the involved instructor to examine the details of the academic standards case. Prior to the conference, the department chair will ensure that both the student and instructor have copies of the Academic Standards Policy.

If a mutually satisfactory resolution is achieved during the conference, the process will end and no further action will be taken. A record of the outcome of the conference will be filed in the department chair's office and the dean's office. If the outcome of the conference results in the dismissal of the charge, the chair is responsible for taking necessary steps for removing blocks on registration.

If a resolution is not achieved at the conference, the department chair will conclude the conference. The department chair will advise the student that he or she has the right to accept the original penalty given or to request a hearing before the College Academic Standards Committee. The student has two class days after the conclusion of the conference to request a hearing, otherwise the original penalty will stand and the student will forfeit the opportunity to have a hearing of the case before the applicable College Academic Standards Committee. The student's decision should be noted in writing on the AMPR and signed by the student and department chair.

If the student does not request a hearing, the department chairperson will submit a report of the penalty (if any), using the AMPR, through the Dean to the SVPAA.

If the student requests a hearing before the College Academic Standards Committee, the department chair will notify the dean's office of the need for a hearing. This notification should take place within three class days of the conclusion of the conference. The AMPR will also be forwarded to the Dean.

- **Hearing** – The dean shall notify the appropriate College Academic Standards Committee in writing to begin a hearing within ten (10) class days of receipt of notification. The CASC Hearing Process will afford both parties the right to submit any documentation, statements of supporting witnesses, or relevant information at the hearing. Legal or other representation at the hearing is prohibited. The CASC will review the information presented by both parties and, at the hearing interview both parties and any witnesses it chooses. At the conclusion of the hearing the CASC will retire to further review the information presented as necessary and determine whether or not the charge of academic misconduct is upheld or dismissed. In cases where the CASC upholds the charges, the CASC may affirm or reduce the previously recommended penalty. The CASC shall submit its decision to the dean in writing within five (5) class days of the conclusion of the hearing. The dean shall provide written notification of the CASC's decision to the student within five (5) class days of the dean's receipt of notification from the CASC.
- If the case is not appealed:
 1. The chair of the CASC will submit a report to the SVPAA through the College Dean of the penalty imposed, if any, using the AMPR, and
 2. The Dean is responsible for notifying the Registrar to remove or continue registration blocks and/or to take necessary actions to enforce any penalty assigned.

- **Appeal** – Grounds for appeal are the alleged lack of due process in the case or alleged unlawful/prohibited discrimination against the student in the hearing process. If the student wishes to appeal the decision of the CASC, a written request for appeal, including the basis for same, must be filed with the dean within five (5) class days of the student’s receipt of the written notification of the CASC’s decision from the dean. The dean will forward the appeal to the Senior Vice President for Academic Affairs (SVPAA). The SVPAA shall notify the University Academic Standards Committee (“UASC”) in writing to begin a review within ten (10) class days of receipt of the notification. The UASC will first determine if grounds exist for an appeal based upon its review of the record developed in the hearing process. If there is a decision that grounds for an appeal exist, the appeal shall be based upon the record developed in the hearing process, and the UASC may interview case principals as it deems appropriate. At the conclusion of the interviews (if any) and review of the information provided, the UASC shall determine whether or not the charge of academic misconduct is upheld or dismissed. In cases where the UASC upholds the charges, the UASC may sustain or reduce the previously imposed penalty. The UASC shall submit its decision to the SVPAA in writing within five (5) class days after the conclusion of its deliberations. The decision of the University Academic Standards Committee related to the appeal of the Level I case shall be final. Also, at the conclusion of the appeal process, the Chair of the UASC will submit a report of the penalty imposed, if any, to the SVPAA using the AMPR. The SVPAA shall provide written notification of the UASC’s decision to the student within five (5) class days of receipt of notification from the Committee, and as appropriate, the written notification to the student will include notification of additional charges if previous incident(s) of academic misconduct have occurred as indicated in the SVPAA review of the Academic Misconduct Penalty Record. The SVPAA will be responsible for informing the Registrar to remove or continue registration blocks on the student, and for taking necessary action(s) such as suspension or dismissal, as appropriate.

Level II - Cases Involving Action by a College or School

If the alleged academic misconduct is beyond the scope of a specific class and/or instructor, or is of such a serious nature as to warrant review of continued participation in an academic program, the procedures shall be as described below. Note that dismissal from a college or school for reasons of academic misconduct will result in permanent dismissal from the University. Because of the possible severity of the penalty, all allegations of academic misconduct at this level proceed directly to a hearing by the College Academic Standards

Committee of the College of the student's academic program or major, and the penalty will be determined by that CASC if the allegations are sustained.

- The instructor, department chair, or other involved party shall forward a written notification of the alleged violation(s) with relevant information to the academic dean or equivalent administrator of the academic program or major of the student involved. A copy of the written notification will be given to the student either through delivery by the U.S. Postal Service, Certified-Return Receipt Requested or by hand delivery.
- The college dean shall notify the CASC in writing of the allegations, transmit any relevant information to the CASC, and instruct the CASC to begin the hearing process within ten (10) class days of the notification (in the event that the college dean is the accuser, the college assistant/associate dean or person appointed by the SVPAA shall perform the functions ascribed below to the dean).
- The hearing shall be conducted in the presence of only the involved student, faculty member, and/or administrator, and witnesses. The student and faculty/administrator(s) shall have opportunities to present all relevant information and witnesses. Legal counsel or other representatives are not permitted in the hearing.
- At the conclusion of the hearing, the CASC shall convene to review the information gathered during the hearing process and determine whether or not the charge of academic misconduct is upheld. The CASC, in its best judgment, may uphold or dismiss the charges. In cases in which the CASC upholds the charges, the CASC may impose a penalty, including suspension or permanent dismissal from the University. The CASC shall submit its decision to the dean in writing within five (5) class days of the conclusion of the hearing. The dean shall provide written notification of the CASC's decision to the student within five (5) class days of the receipt of notification from the CASC and the following actions shall be taken:
 - If the case is not appealed:
 1. The Chair of the College Academic Standards Committee will submit a report to the SVPAA through the College Dean of the penalty imposed, if any, using the AMPR,
 2. The Dean is responsible for notifying the Registrar to remove or continue registration blocks, and/or to take necessary actions such as suspension or dismissal as appropriate.

- **Appeal** – The only grounds for appeal are the alleged lack of due process in the case or alleged unlawful/prohibited discrimination against the student in the hearing process. If the student wishes to appeal the decision of the CASC, a written request for appeal, including the basis for same, must be filed with the dean within five (5) class days of student's receipt of the written notification of the CASC's decision from the dean. The dean will forward the appeal to the Senior Vice President for Academic Affairs (SVPAA). The SVPAA shall notify the University Academic Standards Committee in writing to begin a review within ten (10) class days of receipt of the notification. The UASCC will first determine if grounds exist for an appeal based upon its review of the record developed in the hearing process. If there is a decision that grounds for an appeal do exist, the appeal shall be based upon the record developed in the hearing process, and the UASC may interview case principals as it deems appropriate. At the conclusion of any interviews and its review of the information provided, the UASC will determine whether or not the charge of academic misconduct is upheld or dismissed. In cases where the UASC upholds the charges, the UASCC may sustain or reduce the previously imposed penalty. The UASC shall submit its decision to the SVPAA in writing within five (5) class days after the conclusion of its deliberation. The decision of the UASC related to the appeal of the Level II case shall be final. Also, at the conclusion of the appeal process, the Chair of the UASC will submit a report of the penalty imposed, if any, to the SVPAA using the AMPR. The SVPAA shall provide written notification of the UASC's decision to the student within five (5) class days of receipt of notification from the UASC, and as appropriate, the written notification to the student will include notification of additional charges if previous incident(s) of academic misconduct have occurred as indicated in the SVPAA review of the Academic Misconduct Penalty Record. The SVPAA will be responsible for informing the Registrar to remove or continue registration blocks on the student, and for taking necessary action(s) such as suspension or dismissal, as appropriate.

Level III - Cases Involving Action Beyond a College or School

If the academic misconduct warrants inquiry beyond a college or school, the procedure shall be as follows:

- The department, academic unit, or other party shall submit a written notification and statement of allegations to the SVPAA. A copy of the notification/statement of allegations shall be sent to the student via U.S. Postal Service-Certified Return Receipt Requested, or hand delivered with signature of student receipt requested.

- The SVPAA shall notify the University Academic Standards Committee in writing of the allegations, transmit any relevant information to the UASC, and instruct the UASC to begin the hearing process within ten (10) class days of the notification.
- The hearing shall be conducted in the presence of the student, witnesses, and other involved parties. All parties shall have opportunities to present all relevant information and witnesses. Legal counsel or other representatives are not permitted in the hearing.
- At the conclusion of the hearing, the UASC shall convene to review the information presented and determine whether or not the charge of academic misconduct is upheld or dismissed. For cases in which the UASC recommends a penalty, the penalty may range up to and include dismissal from the university. The UASC shall submit its decision in writing to the SVPAA within five (5) class days of the conclusion of the hearing. The SVPAA shall provide written notification of the Committee's decision to the student within five (5) class days after receipt of notification from the Committee.
- **Appeal** – Grounds for appeal are the alleged lack of due process in the case or alleged unlawful/prohibited discrimination against the student during the hearing process. If the student wishes to appeal the decision of the UASC, a written request for appeal including the basis for same must be submitted to the SVPAA within five (5) class days of the student's receipt of the decision notification. The SVPAA will first determine if grounds exist for an appeal. If there is a decision to consider the appeal, the SVPAA shall conduct the appeal review beginning within ten (10) class days of receipt of the request. The review shall be based upon the study of the record developed through the hearing process. The SVPAA may interview case principals and conduct other reviews as deemed appropriate. The SVPAA shall notify the student promptly in writing of his/her decision. The decision of the SVPAA in the Level III case shall be final.

At the conclusion of the Level III process, including appeal, if any, the SVPAA will report the penalty imposed, if any, using the AMPR. If previous incidents of academic misconduct have occurred, the Chair of the University Academic Standards Committee will convene the committee to determine if a more severe penalty is warranted. The SVPAA is responsible for notification of the Registrar to remove or continue registration blocks, and/or to take necessary actions such as suspension or dismissal, as appropriate.

8.3 Personnel Policy for Undergraduate Student Employees

Effective Date: May 2014

<http://www.southalabama.edu/departments/enrollmentservices/resources/studentemployeepersonelpolicy.pdf>

The basic guidelines for undergraduate student employees are:

1. As hourly employees, student assistants must be paid only for hours actually worked.
2. The hourly pay rate should not normally exceed the current minimum wage (\$7.25/hour) by more than \$5.75/hour for undergraduate student assistants or \$10.25/hour for graduate student assistants. A written justification along with the Student Personnel Action form MUST be sent to the Enrollment Services Office first for hourly wages exceeding \$13.00/hour for undergraduate student assistants and \$17.50/hour for graduate student assistants.

Once the written justification and student personnel action form has been approved by the appropriate office (Senior Vice President for Academic Affairs, VP for Student Affairs, and VP for Health Sciences), the Enrollment Services office will deliver directly to the Payroll Office.

Wages under \$13.00/hour can be sent directly from the departments to the Payroll Office as long as it does not require a signature by the Grants and Contracts Office (*Student Personnel Action Forms with the FUND # starting with 2*). Signature is required for all grants except for Federal Work Study.

3. Student assistants are limited to a 20 hour week when classes are meeting. If a student holds more than one student assistant job, the total maximum hours to work between the jobs is 28 hours per week.
4. International students cannot work more than 20 hours a week during the Fall and Spring Semesters. Prior to employment, check with the Office of International Student Services for any further limitations or exceptions.
5. Student assistants must be enrolled at least half-time, be a degree seeking student and must be at least 18 years of age.

6. Student assistants must meet Department of Labor and Immigration regulations.
7. University policy and state laws regarding nepotism must be followed.
8. This policy must be reviewed with the student at the time of employment.
9. Student assistants may work (maximum of 56 hours per pay period with an average of 28 hours per week during a pay period) and not be enrolled for one semester each academic year (Fall-Summer). This does not apply to international students during the fall and spring semesters.
10. Student assistants who are working and not enrolled at the University are not eligible to utilize the Student Health Services and are not exempt from FICA.
11. Students enrolled less than half-time are subject to FICA taxes.
12. All new employees are required by the provisions of the Immigration and Reform and Control Act of 1982, to complete a government form I-9 PRIOR TO beginning employment. Complete information including the I-9 New Hire Notification form is located at: www.southalabama.edu/financialaffairs/payrollaccounting/i9.html

Any modification or deviation from these guidelines must be approved by the Interim Director for Enrollment Services.

8.4 Graduate Student Employee Policy

Effective Date: May 1, 2014

<http://www.southalabama.edu/graduateprograms/gradstudentemppolicy.pdf>

1. Purpose:

- 1.1. The purpose of graduate student employment at the University of South Alabama is to assist with meeting the business needs of the University, to provide University students with financial support in pursuit of their academic goals, and to provide opportunities for academic or administrative and business-related job experience.
- 1.2. The policies and guidelines contained herein meet or exceed the requirements for compliance with all Federal employment regulations including but not limited to

the Internal Revenue Service (IRS), the Immigration and Naturalization Service (INS), and Federal Financial Aid legislation.

- 1.3. The Graduate Student Employment policy has been established to define the requirements and obligations for graduate students when they are employed at USA. This policy does **NOT** apply to:
 - a) Undergraduate student employees;
 - b) Graduate students employed through the Federal Work-Study program;
 - c) Graduate students in programs that provide both stipends for full time study **AND** health insurance;
 - d) Graduate students holding appointments in which the expectation is for work duties to require 30 and above work hours per week on a regular basis beyond three months in duration. This would include those graduate students appointed to full time (40 hours per week) graduate assistantships.
- 1.4 All graduate student employees not in the categories of employees defined in section 1.3 are subject to this policy. These policies apply regardless of funding source or pay type. These policies apply to graduate students holding graduate assistantships as well as those graduate students working on an hourly basis.
- 1.5. Additionally, provisions included herein ensure that USA meets or exceeds the requirements for compliance with the regulations and guidelines of the University's accreditation bodies which apply to graduate student employment – including the Alabama Commission on Higher Education (ACHE), Southern Association of Colleges and Schools (SACS), and Southern Regional Education Board (SREB).

2. Qualifying Requirements:

- 2.1. To be appointed as a graduate student employee, the graduate student must be:
 - a) Normally enrolled in at least 6.0 hours of on-campus graduate classes for the whole period of the student employment appointment (subject to the minimum registration requirements and dispensations listed in Section 4 below); and
 - b) Admitted to and actively pursuing a graduate degree program; and
 - c) Maintaining satisfactory academic progress; and
 - d) In addition, the graduate student must sign an employment agreement.

- 2.2. In programs where a student is taking both undergraduate and graduate classes, the individual may NOT be employed as a graduate student employee unless and until they have completed their baccalaureate and have been accepted into a graduate program at USA.
- 2.3. Due to federal tax considerations, graduate students cannot be employed simultaneously as both a faculty or staff member and a student employee.
- 2.4. Faculty/staff enrolling in graduate courses cannot be considered graduate student employees.
- 2.5. Graduate students employees may **NOT** also be employed in undergraduate student positions.

3. Employment Limits:

- 3.1. All graduate student employees - domestic and international - are limited to working no more than 20 hours per week (or 0.50 FTE) during Fall and Spring semesters. They may work up to, but no more than, 40 hours per week during Summer terms and academic year break periods.
- 3.2. Where additional or multiple on-campus assignments are taken, this limit applies to the combined hours or aggregate FTE of all assignments.

4. Minimum Registration Requirements for Graduate Student Employees:

- 4.1. Generally, all graduate student employees must be full-time graduate students taking the equivalent of a minimum of 6 semester hours.
- 4.2. Dispensations for registration below the minimum levels stated in 4.1 are permitted when:
 - a) It is the student's graduating semester and all degree requirements have been met. A minimum registration of 1 hour may apply under this exception;
 - b) Any semester when the graduate student is registering in thesis or dissertation research hours only and in accordance with the department or

program policies. The minimum number of research hours must be commensurate with the progress a graduate student is expected to make on the thesis or dissertation as well as reflective of the extent to which University facilities and faculty time are invested;

- c) During summer and interim terms, students may be employed without any minimum registration requirement;
- d) The dispensations listed above apply to domestic students only; international graduate students need to be aware of special restrictions due to their status. Please check with the USA Office of International Admissions and Student Services.

5. Rates of Pay and Benefits:

- 5.1. Graduate student employees as defined by this policy are considered non-exempt employees.
- 5.2. In order to qualify for any semester-related benefits the appointment must be made before the last day to register or drop classes as published in the Academic Calendar.
- 5.3. Graduate student employees are paid in accordance with the federal minimum wage legislation. The student will be paid at least a minimum wage as required under federal guidelines.

6. Calculation of FTE:

- 6.1. The Full Time Equivalent value for each graduate student employee appointment is calculated by dividing the number of hours per week the appointment represents by the hours for a regular work week of 40 hours. So, a graduate student who works 20 hours per week, the FTE is $20/40 = 0.50$.
- 6.2. As a guide for graduate teaching assistantships, the FTE is based on the number of hours worth of teaching assignment. Teaching one 3-hour class equates to 0.25 FTE; two 3-hour classes or one 6-hour class equates to 0.50 FTE.
- 6.3. Maintenance of hours worked will be accomplished by graduate student employees' completion of time sheets each pay period with said time sheet being verified and signed by the graduate student and his/her immediate supervisor. The completed timesheet is required as a condition for receipt of pay.

7. Exceptions to This Policy:

7.1 No exceptions to this policy are allowed for this employee category.

9.0 BUSINESS POLICIES

9.1 Travel Regulations

The University will reimburse employees who travel on authorized University business for in-state travel expenses according to the Alabama in-state travel law (Act #36-7-20). The University will reimburse employees who travel on authorized University business for actual and necessary expenses for out-of-state travel in accordance with the provisions of the Alabama out-of-state travel law (Act #36-7-21). Within the provisions of this law, the University limits meal expenses for out-of-state travel. Expenses not allowed for reimbursement include: valet services, laundry, alcoholic beverages, passports, etc. (not all inclusive). Travel forms should be filed within sixty (60) days of the trip. The University reserves the right not to reimburse expenses on travel forms submitted 60 days or more after a trip is made. Reimbursements made where the travel forms are filed subsequent to 60 days after completion of the trip will be treated as income subject to withholding according to federal income tax regulations section 1.62-2.

All University travel must be approved in advance. An Authorization for Professional Leave or Travel (<http://www.southalabama.edu/financialaffairs/traveloffice/forms/exhibitw.pdf>) must be submitted to the appropriate Department Chair, Dean, and the Senior Vice President for Academic Affairs or Vice President for Health Affairs prior to making any travel arrangements. Permission to be absent from campus or other approved work site for one-half day or more to engage in professional activity during regular periods of contracted employment can be granted under professional leave..

All University-related international/foreign travel must be approved by the appropriate department head, dean/administrator, Vice-President/Senior Vice President and President prior to making travel arrangements. Additionally the traveler is required to complete the International Travel Review Process form (except for U. S. Insular Areas, as defined in this document) and submit that form to the Office of International Education. Information and forms regarding international/foreign travel may be found at <http://www.southalabama.edu/travel/international.html>.

Travel regulations and forms are accessible at <http://www.southalabama.edu/travel/generalinfo.html>.

9.2 Entertainment Regulations

Since many business and professional discussions, negotiations, and transactions take place during periods of entertainment, the University recognizes that business entertainment is important to its operation. By definition, business entertainment involves those expenses incurred in extending reasonable hospitality to University guests. No entertainment shall be incurred that is contrary to the State statutes and regulations. Entertainment guidelines and regulation may be found at <http://www.southalabama.edu/travel/entertainment.html>.

9.3 Purchasing Procedures

<http://www.southalabama.edu/financialaffairs/purchasingdepartment/index.html>

The Purchasing Department is responsible for procuring all supplies, equipment, and services for the University. All purchases must be via Banner Purchase Order or Limited Purchase Order. To obtain a Banner Purchase Order, it is necessary to generate an electronic Banner requisition. The Purchasing Department will generate a Banner Purchase Order based on data contained in the department requisition. Upon receipt of the requisition, the Purchasing Department forwards the appropriate Banner Purchase Order to the vendor.

The Purchasing Department is also responsible for enforcing the Alabama Competitive Bid Law. University policy requires all like item purchases of \$5,000 or more to be executed via bid. It also provides that contracts for purchase of materials, property, or personal services shall be let for periods not greater than ten years.

Departments are encouraged to use the University Bookstore whenever possible rather than outside services for the purchase of office supplies and other inventory items.

9.4 Campus Solicitation

The University campus offices are open to book sales and publishing representatives. Other solicitations must have prior approval of the appropriate University official.

10.0 APPENDICES

10.1 Mission/Philosophy of the Athletic Department

The mission of the Athletic Department of the University of South Alabama is to complement and supplement the total educational program of the institution. The Athletic Department must provide learning experiences for all students and give each individual the opportunity to share in personal and group success and provide for student involvement in activities that help develop unity by encouraging common quest for all students, alumni, faculty, staff and friends of the University. The Athletic Department is committed to enriching the mental and physical capabilities of its student-athletes while developing and building a respected program that is competitive on a national level in selected sports, at the same time operating a quality program in the other sports that will create a basis for pride among the varied constituencies of the University.

10.2 Bylaws of the Faculty Organization of the College of Medicine

Article I: Name

The names of the bodies constituted in this document shall be the Faculty Assembly and the Executive Council of The University of South Alabama College of Medicine, Mobile, Alabama.

Article II: Academic Affairs

It shall be the purpose and objective of the Assembly and the Executive Council to achieve and maintain levels of excellence in all aspects of medical education, research, and health service at the University of South Alabama College of Medicine. The Executive Council shall act as the principle policy-making and governing body of the medical school subject to the Rules and Regulations of the Board of Trustees of the University of South Alabama. The dean, as the administrative officer, is responsible for approval of and implementation of all policy decisions. The Assembly and the Executive Council shall, in accordance with the powers delegated to the faculty by the Board of Trustees of the University of South Alabama, be responsible for:

- All matters pertaining to the curriculum and academic achievements and deficiencies;
- The promotion of studies and approval of candidates for certification for graduation;
- The establishment and maintenance of the optimum environment and opportunities for faculty development; and
- The admission process; admission to the College of medicine is under the direction of the Committee on Admissions; this committee is considered to be an action committee charged with developing guidelines for admission based upon policies established by the Board of Trustees.

Section I. Administrative Affairs

The members of the Executive Council shall exhibit an active interest in the progress and future of the medical school and shall be responsible for active participation in major planning for the College of medicine and the campus as a whole. They shall accept responsibility for performing those functions essential to the maintenance and conduct of programs of excellence in all activities of the school. Therefore, within the limitations of the Rules and Regulations of the Board of Trustees of the University of South Alabama they must:

- Be consulted by the dean on general administrative affairs of the medical school and on matters pertaining to the future development of the University of South Alabama College of Medicine;
- Serve on school committees and accept other responsibilities as deemed necessary and appropriate; and
- Have the privilege of reviewing (and challenging) the functions of all administrative services within the institution that affect directly the teaching, research, and service activities of the medical faculty.

Section II. Student Affairs

Since the medical school exists primarily as an education endeavor, the members of the Assembly and the Executive Council shall exhibit an active interest in student affairs.

1. The Assembly and Executive Council have responsibilities to establish and to maintain high standards of ethical, moral, and personal conduct by the student body.
2. Insofar as practical, and within the rules and regulations of the University and pertinent laws, the conduct and regulation of student activities, other than those relating to academic matters, shall be controlled by the students acting through their own established organization constitution and rules.
3. Consideration shall be given to appropriate student representation on committees and in various functions as defined by the faculty bodies.

Article III: Membership

Section I. Medical Faculty Assembly

The Assembly shall consist of all members of the active faculty of the Medical College holding the rank of Professor, Associate Professor, Assistant Professor and Instructor. Each member shall have one vote.

Section II. Council

The Executive Council shall consist of the dean, the associate deans, not to exceed three in number, all chairs of academic departments of the Medical College and three at-large

members elected by the faculty assembly for a term of three years, each with one vote. Any voting member may send a departmental representative to vote in his/her absence. The assistant deans, the Administrator of the USA Hospitals and Clinics, the Director of the Graduate Program, the President of the Health Services Foundation, and the Chair of the Assembly shall be ex-officio members of the Council. Unless otherwise entitled, they may not vote or second motion.

Article IV: Officers

Section I. Executive Council and Faculty Assembly

1. Chair

The dean shall chair all sessions of the Executive Council. The Faculty Assembly shall elect its own chair as described under Article VIII and this person shall chair all its sessions.

2. Vice-Chair

- There shall be a Vice-Chair of the Executive Council to be elected annually by the Executive Committee from its membership according to the rules of Article VIII.
- There shall be a Vice-Chair of the Assembly to be elected annually by the Assembly from the membership according to the rules of Article VIII. It shall be the duty of that person to preside over meetings of the Assembly in the absence of the chair.

3. Secretary

- There shall be a Secretary of the Executive Council to be elected annually by the Council from its membership according to the rules of Article VIII. It shall be the duty of that person to keep minutes of the meetings of the Assembly and to distribute notices of meetings and all necessary information for the Council to do its business.
- There shall be a Secretary of the Assembly to be elected annually by the Assembly from its membership according to the rules of Article VIII. It shall be the duty of that person to keep minutes of the meetings of the Assembly and to distribute notice of meetings and all necessary information for the Assembly to do its business.

Article V: Committees

There shall be a Committee on Committees composed of a chair and four other members of the Assembly to be elected annually from its membership at the June meeting. Elected

members of that committee shall serve two-year staggered terms. At no time shall there be more than one representative from a department on this committee. The function of this committee shall be to advise and consult with the dean on the membership of committees reporting to the dean as outlined in Section II. The dean will appoint members to the latter individual committees.

Section I. Standing Committees

1. There shall be the following standing action committees of the College of Medicine as described in Article V, Section I:
 - Bear Committee
 - Biomedical Library Advisory Committee
 - Cancer Coordinating Committee (JOINT)
 - Committee on Admissions
 - Committee on Committees
 - Committee on Standards in the Conduct of Research
 - Continuing Medical Education Committee
 - Curriculum Committee
 - Distinguished Scientists Seminar Program Committee
 - Executive Council
 - Faculty Assembly
 - Faculty Committee on Appointments, Promotions, and Evaluations
 - Graduate Medical Education
 - Institutional Animal Care and Use Committee
 - Institutional Biosafety Committee
 - Institutional Review Board
 - Minority Affairs Advisory Committee
 - Patent Committee, College of Medicine
 - Radiation Safety Committee
 - Research Advisory Committee
 - Rostov - USA Medical Exchange Committee
 - Student Promotions and Evaluation Committee
 - Student Research Committee
 - University Faculty Grievance Committee
 - University Faculty Senate (Elected Representatives)
 - University Graduate Council
 - University Committee Assignments (COM Representatives)

2. There shall be representation on standing committees of the University.
 - Biohazards Committee
 - Radiation Safety Committee

3. There shall be representation of the Faculty Senate of the University as specified by that body elected by the Assembly for three year terms.

Section II. Committee Membership

1. The members of the standing committees shall be appointed as described in Article V, Section I. Committee membership is restricted to members of the Assembly, regularly enrolled medical students and, in special cases, others who may be invited to serve.
2. The term of service by voting members of standing committees generally should not exceed three years.
3. If ad hoc committees are created, appointment shall be by the dean. The committees shall not exist beyond the academic year in which appointed unless specifically appointed for a longer period.
4. Committee chairs, on request, shall submit a written report to the chair of the Assembly.

Article VI: Jurisdiction

Section I. Jurisdiction

The Executive Council and the Assembly shall consider all matters that affect directly or indirectly the ability of the faculty to carry out their program of teaching, research, and patient care in the medical school. The Executive Council shall consider any matters referred to it by the Assembly, the dean and Vice President for Health Sciences, the President or the Board of Trustees. It may submit recommendations on any matters affecting the interests of the medical school to the dean for action or transmittal to the President and the Board of Trustees.

Section II. Protests of Executive Council Action

After each monthly report of the Executive Council, members of the Assembly may submit individually signed protests concerning Council action. If such protests concerning any given item are received from at least twenty (20) percent of the Assembly, the chair must present the protested item for reconsideration by the Council at the next regularly scheduled meeting.

Section III. Repeal of Executive Committee

In the event the protests of Council action by the members of the Assembly have lead to a reconsideration of the action by the Committee and in the event that further protests are made by fifty (50) percent or more members of the Assembly, the protested item must be presented by the chair at a special meeting of the Assembly. In this special case, it shall be

the prerogative of the Assembly to affirm, modify, or rescind the previous Council action by a three-fourths vote of the entire Assembly membership.

Article VII: Meetings

Section I. Regular Meetings

1. A regular meeting of the Executive Council ordinarily will be held monthly. Council members may submit items for the agenda up to three days prior to the next meetings.
2. A regular meeting of the Assembly should be held twice yearly, fall and spring. Written notice with the agenda of the meeting of the Assembly shall be sent to the membership by the chair one week in advance of the meeting. Assembly members may submit items for the agenda up to two weeks prior to the meeting of the Assembly.

Section II. Special Meetings

1. A special meeting of the Executive Council may be called by the chair, or upon request in writing from four members of the Council of twenty-five percent of the Assembly. Written notice and agenda will be consistent with the urgency of the problem.
2. A special meeting of the Assembly shall be called:
 - At the discretion of the Executive Council
 - Upon request from the dean
 - Upon request of ten percent or more members of the Assembly

Written notice of such special meetings with agenda shall be sent to all members one week in advance of the meeting.

Section III. Quorum

A majority of the voting membership of the Executive Council shall constitute a quorum for the transaction of its business. Twenty-five percent of the listed membership of the Faculty Assembly shall constitute a quorum for the transaction of its business.

Section IV. Rules of Procedure

Robert's Rules of Order-Revised shall govern the conduct of all meetings. The secretary shall act as a Parliamentarian.

Section V. Records and Reports

A full set of minutes of each meeting of the Executive Council and Assembly shall be recorded and a copy sent to the dean of the medical school for permanent filing. A copy of the minutes of a meeting shall be made available to any Assembly member upon request.

Article VIII: Elections of Faculty Assembly Officers

The faculty Assembly officers (President, Vice President, and Secretary) shall be elected at the fall meeting for one-year terms (September 1 to August 31). A list of candidates will be formed by:

- Nominating petition signed by five assembly members;
- Nominations from the floor.

Election to office will require a majority of the members present and voting. Voting will be by secret ballot.

Article IX: Revision of the Bylaws

Revision of the bylaws shall require agreement by two-thirds majority of the entire Assembly

10.3 Bylaws of the Graduate Program in Basic Medical Sciences

Preamble

The faculty of the University of South Alabama Graduate Program in Basic Medical Sciences has adopted the following Bylaws to assist it in the orderly conduct of its affairs and to facilitate the performance of its duties and obligations in accordance with the policies of the Board of Trustees of the University of South Alabama.

These Bylaws and any amendments thereto are subject to the approval of the Graduate Faculty and Dean of the College of Medicine with the concurrence of the Dean of the Graduate School, the President of the University, and the Board of Trustees of the University of South Alabama.

Article I: Name, Object, and Purpose

Section I. Name

The name of the body shall be the Graduate Faculty of the University of South Alabama Graduate Program in Basic Medical Sciences.

Section II. Academic Affairs

The Graduate Faculty shall conduct and supervise graduate instruction in the basic medical sciences. To satisfy this obligation, both to the individual student and to the people of Alabama, it shall be the responsibility and the prerogative of the Graduate Faculty within the limitations set by the policies of the Board of Trustees of the University of South Alabama to make recommendations to the Dean of the Graduate School with regard to the following:

- The curriculum and the standards of acceptable academic performance within the Graduate Program in Basic Medical Sciences;

- Standards for admission and admission of students to the Graduate Program in Basic Medical Sciences;
- Standards for graduate instruction;
- Measures to be taken in cases of academic deficiencies and/or failure.

Section III. Research

The Graduate Faculty shall encourage, support, and engage in research and other scholarly endeavors.

Section IV. Administrative Affairs

The Graduate Faculty shall continue an active interest in the progress and future of the Graduate Program in the Basic Medical Sciences. Therefore, within the policies of the Board of Trustees of the University of South Alabama and of the Graduate School, the Graduate Faculty shall:

- Serve as consultants on general administrative affairs of the Graduate Program in the Basic Medical Sciences; and
- Perform those tasks auxiliary to teaching and research; for example, serve upon faculty and administrative committees, attend to administrative and disciplinary duties, and promote diligence and scholarship in the student body.

Section V. Student Affairs

The teaching obligations, duties and responsibilities of the Graduate Faculty require that it shall have the authority and power to establish and maintain standards of honesty and integrity for students in the Graduate Program in Basic Medical Sciences.

The creation or establishment of any officially recognized student organization and the promulgation by it of any rules or procedures covering the conduct of students in the Graduate Program in Basic Medical Sciences shall require the prior approval of the Associate Dean for Basic Medical Sciences, Dean of the College of Medicine, Director of the Graduate Program in Basic Medical Sciences, Dean of the Graduate School, and President of the University.

Article II: Membership and Appointments

Section I. Membership

Membership in the graduate faculty requires that the applicant: 1) hold the rank of Assistant Professor or higher in a Basic Sciences department as a primary or joint appointment; 2) be actively engaged in research and teaching; and 3) meet all the general requirements of the Graduate School of the University of South Alabama.

Membership can be sought by an application sent to the Associate Dean of Basic Medical Sciences. The application form of the Graduate School should be completed with the addition of the following:

1. A written statement by the applicant expressing a desire to participate in the Graduate Program in Basic Medical Sciences;
2. An up-to-date curriculum vitae;
3. A supporting statement from the applicant's department chair.

Applications will be presented to the Graduate Executive Committee by the individual's department chair. A positive recommendation to the Graduate Dean for membership requires an affirmative vote by two thirds of the voting members of the Graduate Executive Committee. The President of the University is the appointing authority for Graduate Faculty membership. Once every five years, the membership of the graduate faculty will be reviewed by the Graduate Executive Committee. Retention in the graduate faculty will require continued demonstration of an active research program and graduate level teaching. A two-thirds affirmative vote of the Graduate Executive Committee is required for a positive recommendation to the Graduate Dean for continued membership in the graduate faculty. Appeal of the committee's action can be made to the Associate Dean for Basic Medical Sciences within 15 days of the decision.

Section II. Appointments

Appointments in the Graduate Program in Basic Medical Sciences will be at the same rank as the one held by a member in the department of their qualifying academic appointment. A faculty member who is appointed to the Graduate Faculty does not acquire tenure in such appointment.

Section III. Rights of Members

Associate and Full Members of the graduate faculty shall be entitled to:

1. Conduct either didactic or informally structured approved course work for graduate credit;
2. Serve on dissertation committees;
3. Serve as a dissertation advisor (Full Members only);
4. Vote upon all business brought before the graduate faculty;
5. Hold office and sit upon all standing and special committees of the Graduate Faculty;
6. Serve on Graduate Council (Full Members only).

Section IV. Director of the Graduate Program in the Basic Medical Sciences

The Director of the Graduate Program is under the administrative authority of the Associate Dean for Basic Medical Sciences. The Director shall coordinate the general administration of the Basic Medical Sciences Graduate Program. Important roles of the Director are to assist the departments in recruitment and to instruct the students in their understanding of

didactic tracks offered by Basic Science Departments. The Director should work closely with, and support the Basic Science Departments and Associate Dean in these endeavors.

Article III: The Administration of the Graduate Program in the Basic Medical Sciences

Section I. General

Administration of the Graduate Program in Basic Medical Sciences, insofar as it concerns the Graduate Faculty, shall be conducted by the Director of the Graduate Program. The Dean of the Graduate School of the University of South Alabama has general responsibilities for the direction of all graduate programs and, subject to approval by the President and the Board of Trustees, is the ultimate authority in their administration.

Section II. Director of the Graduate Program in Basic Medical Sciences

The Director of the Graduate Program shall be the Chair of the Graduate Faculty. The Associate Dean for Basic Medical Sciences may appoint a temporary Chair of the Graduate Faculty to serve during the absence of the permanent chair. The Director is a member of the Graduate Faculty and is ex officio, a member of all Standing and Special Committees.

Section III. Secretary

The Secretary of the Graduate Faculty shall be elected by the Graduate Faculty.

Section IV. Parliamentarian

A Parliamentarian shall be elected by the Graduate Faculty.

Article IV: Committees of the Graduate Faculty

Section I. General

The Director of the Graduate Program in Basic Medical Sciences shall appoint all committees except those which are to be elected by the Graduate Faculty or constituted in a particular manner as prescribed in these Bylaws.

Minutes shall be kept of all Standing Committee meetings to assist in preparation of the reports of the committee, but need not be circulated outside of the committee. The official report of a committee shall be adopted by a majority vote of the committee and presented at a regular meeting of the Graduate Faculty of the Basic Medical Sciences.

Section II. Standing Committees

1. Graduate Executive Committee - The faculty of the Graduate Program in the Basic Medical Sciences will exercise its legislative, planning and development functions through the Graduate Executive Committee. The Executive Committee is composed of each Basic Science Chair or their designee, and two at large members from the Graduate Faculty. The at large members will be elected at the Annual Meeting of the

Graduate Faculty, and will serve staggered two-year terms. The Director of the Graduate Program in Basic Medical Sciences, the Associate Dean for Basic Medical Sciences and the Dean of the Graduate School will be non-voting ex officio members. Representatives from other components of the College of Medicine and the University may be invited to serve as nonvoting liaison members to the Executive Committee. The Director of the Graduate Program will chair the meetings of the Graduate Executive Committee.

The Executive Committee shall:

- Meet regularly during the year at the meetings of the Basic Medical Science chairs, at the call of the Director of Graduate Studies, or on written petition of any three members;
 - Formulate the general academic policies of the Graduate Program;
 - Approve proposed areas of concentration within graduate programs, new graduate courses, modification of graduate curriculum, and all matters not designated to other standing or special committees of the Graduate Program;
 - Approve applications for membership in the Graduate Faculty, and review all memberships every five years as described in Article II Section I of this document.
2. Graduate Admissions Committee - The committee shall be composed of one representative member appointed from within each Basic Science department. The Graduate Admissions Committee is authorized to recommend to the Graduate Dean the admission of students for the Ph.D. program subsequent to the applicant's approval by the department to which the student has applied. Non-affiliated applicants will be recommended to the Graduate Dean for admission by this committee with or without departmental consultation.
 3. Other Standing Committees - Additional Standing Committees may be created by the Graduate Faculty, or the Director of Graduate Studies, and shall function under the rules outlined in Section I of this Article.

Article V: Meetings, Rules, and Procedures

Section I. Regular Meetings

The Graduate Faculty shall meet a minimum of once per year at its Annual Meeting, to conduct the regular business of the Graduate Faculty.

Section II. Special Meetings

Special Meetings of the Graduate Faculty may be called by the written petition of twenty-five (25) Members of the Graduate Faculty. Every effort shall be made to send out a printed notice of the said meeting to the Graduate Faculty not less than one week in advance of the date of said Special meeting.

Section III. Rules of Order

All Regular, Special, and Committee meetings of the Graduate Faculty in the Basic Medical Sciences shall be conducted in accordance with *Roberts Rules of Order, Newly Revised* except as otherwise provided for in these Bylaws.

Section IV. Order of Business

At the Regular meetings of the Graduate Faculty, the order of business shall be:

1. Call to Order
2. Approval of the Minutes
3. Old and Unfinished Business
4. Reports
 - Standing Committees
 - Special Committees
5. New Business
 - Matters presented by the Director of Graduate Studies
 - Matters presented by Members
 - Other Matters
 - Adjournment

Section V. Minutes

Minutes of each meeting shall be published and made available to each Member of the Graduate Faculty by the Secretary of the Faculty.

Section VI. Quorum

A quorum of the Graduate Faculty shall be one more than half of the Members of the Graduate Faculty; however, unless a Call for a quorum is made by a Member of the Graduate Faculty, any number of members may conduct the business of the Graduate Faculty at any Regular or dully called Special Meeting of the Graduate Faculty.

Article VI: Adoption of Bylaws and Amendments

Section I. Adoption of Bylaws

These Bylaws, having been published in writing not less than fifteen (15) days prior to a Regular or Special meeting of the Graduate Faculty, shall be adopted by a simple majority vote of the Graduate Faculty Members present and voting at said meeting and shall take effect upon approval by the Dean of the College of Medicine with concurrence of the Dean of the Graduate School, the President of the University and the Board of Trustees of the University of South Alabama.

Section II. Repeal of Prior Rules

Adoption and approval of these Bylaws as provided in Article VI, Section I shall repeal and set aside all prior rules and regulations that shall have governed the conduct of the business and the organization of the Graduate Faculty in the College of Medicine.

Section III. Amendments to Bylaws

These Bylaws may be amended by a two-thirds vote of the members present and voting at any Regular or Special meeting of the Graduate Faculty provided that the amendment or amendments shall have been published and circulated to the Graduate Faculty not less than fifteen (15) days prior to the meeting at which the vote is to be taken. Amendments shall take effect upon adoption by the Graduate Faculty and approval by the Dean of the College of Medicine with concurrence of the Dean of the Graduate School, the President of the University and the Board of Trustees of the University of South Alabama.