

3. Faculty Personnel Policies and Procedures

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Faculty Personnel Policies and Procedures

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1. INTRODUCTION

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

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

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

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

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

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

In order to assure that the faculty members nominated for promotion and tenure receive full consideration by their peers as well as by appropriate administrative personnel, the Board directs that all faculty being considered for promotion and/or tenure be reviewed at the following levels: 1) eligible department faculty members, 2) the department head, 3) the college or school dean in conjunction with an advisory college- or school-level committee as may be established by the dean, 4) the Promotion and Tenure Committee, and 5) the University President.

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

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

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

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

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

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Academic Freedom

- a. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- b. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
- c. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they 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 they are not speaking for the institution.

Academic Tenure

After the expiration of a probationary period, teachers or investigators should have permanent or continuous

tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies.

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

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

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

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

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

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

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2. OVERVIEW OF FACULTY PERSONNEL POLICIES

Auburn University recognizes that its success as an educational institution depends largely upon its ability to attract and retain well-educated, talented, and dedicated faculty members. Thus, within available resources, it rewards individuals who demonstrate high quality performance in its primary activities--teaching,

research/creative work, and outreach--by granting promotion, tenure, and salary increases. This section of the Faculty Handbook provides definitions, criteria, and procedures for initial faculty appointments and for the granting of academic promotions and tenure. Appointments to the faculty, promotions in rank, and tenure decisions are made by the President in accord with the policies established by the Board of Trustees.

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

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

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

Whatever the percentages that define an appointment, a candidate for promotion and tenure must be engaged in an appropriate combination of 1) teaching, 2) research/creative work, and 3) outreach. In addition, all faculty have an obligation for University service. As the outline of material to be submitted for consideration for promotion and tenure that is printed in this chapter indicates, the University is prepared to interpret teaching, outreach, and research/creative work with a considerable degree of flexibility in order to accommodate the wide variety of work in which faculty members engage. Teaching is understood to include a variety of ways in which information and skills are passed on such as classroom teaching, direction of advanced students, in service training, or off-campus instruction. Research/creative work is understood to include a variety of original scholarly activities such as basic research, applied research, interpretive or case studies, and artistic performances. Outreach is understood to be instruction, research, and other activities that are applied to the direct benefit of external audiences and that is directly relevant to the mission of the units in which the contributing faculty members work, including such activities as off-campus instruction and applied research which overlap with traditional instruction and research. In this sense outreach is understood as a function, rather than as an organization; it includes activities of faculty associated with the Alabama Cooperative Extension System as well as those whose outreach work is sponsored by Auburn institutes or external sources and those who conduct outreach in support of their departmental missions. (Chapter 6 of this Handbook describes the various outreach units at Auburn University.) In addition, a candidate for promotion and tenure must recognize his or her obligation to provide the University with some kind of service, although expectations in the area of departmental, college or school, and/or University service for an assistant professor are typically modest.

(Note: Extension faculty appointed prior to the adoption of this Handbook will be evaluated in terms of the percentages specified in their appointments.)

The normal progression to tenured status is from a probationary appointment. A faculty member on

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

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

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3. KINDS OF APPOINTMENT

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

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

Non-tenure track faculty includes such positions as instructor, librarian I, archivist I, visiting faculty, adjunct faculty, resident, intern, extension specialist, agent, and program associate. *Guidelines for establishing and filling positions in the Research and Clinical Title Series are available on the Office of the Provost web page www.auburn.edu/provost.*

Academic administrators above the level of department head hold temporary or continuing appointments and may also hold faculty rank. A department head holds a continuing appointment as head and must also hold faculty rank.

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

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

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

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

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

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

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4. INITIAL APPOINTMENT

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

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

When making recommendations for appointments at all faculty ranks except those designated as temporary, the department head or unit head shall confer with all available members of the department holding professorial ranks or, if the unit does not include professorial faculty, with those faculty holding continuing appointments. He or she shall then transmit a written summary of the reactions of these faculty members along with appointment forms through the appropriate dean and/or director to the Provost. Where the faculty members do not concur in an initial appointment, the head may submit a recommendation for appointment

with his or her justification and a report of non-concurrence of the faculty. An appointment made without the support of the faculty may jeopardize the new hire since the faculty will ultimately vote on promotion and tenure.

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

Each initial appointment must be confirmed by the appropriate department head/unit head or dean in a written notice to the appointee after proper administrative approvals have been obtained. This notice should include determination of prior service at another institution to be credited toward the probationary period. This letter constitutes the faculty member's written terms of the initial employment. The sections of Faculty Handbook printed in roman type constitute the University's established policies concerning faculty rights and responsibilities.

PRIOR SERVICE

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

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

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5. FACULTY RESPONSIBILITY

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

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

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6. ACADEMIC RANKS AND PROMOTION

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

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

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

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

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

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

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

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

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

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7. PERFORMANCE EVALUATION

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

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

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

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

result of the vote shall be announced at the meeting. Faculty should understand that this vote is not a commitment to grant or deny tenure in the future.

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

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8. PROMOTION CRITERIA AND CONSIDERATIONS

Promotion is based on merit. A candidate for promotion should have acceptable achievements in the areas of 1) teaching and/or outreach and 2) research/creative work. He or she is further expected to demonstrate over a sustained period distinctive achievement in one of these areas or achievement in both areas comparable to that of successful candidates in the discipline in the past five years. In addition, he or she is expected to have contributed some service to the University. The criteria for teaching, research/creative work, and outreach described below shall be considered by the faculty in the evaluation of a candidate's performance and achievement. The candidate's employment conditions and academic assignments shall determine which criteria are most emphasized. Credit shall also be given for contributions above and beyond specifically assigned duties.

A. TEACHING

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

B. RESEARCH/CREATIVE WORK

A faculty member engaged in research/creative work has an obligation to contribute to his or her discipline through applied and/or basic research, through creative endeavors, or through interpretive scholarship. To a large extent, each discipline and each department must determine how much and

what quality of research/creative work is appropriate for promotion (and/or tenure) and judge its candidates accordingly. In appraising the candidate's work, faculty members should consider the quality and significance of the work, the quality of the outlet for publication or exhibition, and, in cases of collaborative work, the role of the candidate.

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

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

C. OUTREACH

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

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

Demands for quality in outreach are the same as in teaching and research/creative work; however, outreach activities are different in nature from other activities and must be evaluated accordingly. See Appendix 1 of Faculty Participation in Outreach Scholarship: An Assessment Model, which is available along with other publications on the assessment of outreach under "Outreach Publications" on the University web site. Department heads should request any material necessary from the candidate to facilitate faculty assessment of the type, quality, and effectiveness of the candidate's involvement in extension activities and evaluation of any resulting publications.

D. SERVICE

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

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9. TENURE CRITERIA AND CONSIDERATIONS

Auburn University nurtures and defends the concept of academic tenure which assures each faculty member freedom, without jeopardy at the department, college or school, or University level, to criticize and advocate changes in existing theories, beliefs, programs, policies, and institutions and guarantees faculty members the right to support, without jeopardy, any colleague whose academic freedom is threatened. Tenure establishes an environment in which truth can be sought and expressed in one's teaching, research/creative work, outreach work, and service. Decisions on tenure are different in kind from those on promotion. Tenure, in fact, is more exacting. In addition to demonstrating quality in the areas of 1) teaching, 2) research/creative work, 3) outreach and 4) service as described above under Promotion Criteria, the candidate for tenure must also demonstrate professional collegiality.

COLLEGIALITY

In appraising a candidate's collegiality, department members should keep in mind that the successful candidate for tenure will assume what may be an appointment of 30 years or more in the department. Collegiality should not be confused with sociability or likability. Collegiality is a professional, not personal, criterion relating to the performance of a faculty member's duties within a department. The requirement that a

candidate demonstrate collegiality does not license tenured faculty to expect conformity to their views. Concerns relevant to collegiality include the following: Are the candidate's professional abilities and relationships with colleagues compatible with the departmental mission and with its long-term goals? Has the candidate exhibited an ability and willingness to engage in shared academic and administrative tasks that a departmental group must often perform and to participate with some measure of reason and knowledge in discussions germane to departmental policies and programs? Does the candidate maintain high standards of professional integrity?

Collegiality can best be evaluated at the departmental level. Concerns respecting collegiality should be shared with the candidate as soon as they arise; they should certainly be addressed in the yearly review and the third year review. Faculty members should recognize that their judgment of a candidate's collegiality will carry weight with the Promotion and Tenure Committee.

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10. ELIGIBILITY FOR PROMOTION AND TENURE

There is no fixed requirement for years of service at a given rank before a faculty member can be promoted or tenured. However, the qualifications for tenure or for each professorial rank generally cannot be demonstrated fully in less than four complete years of service. Only in exceptional and well-documented cases, in which a faculty member has substantially exceeded requirements for promotion and/or tenure in a shorter time, should he or she be recommended for promotion and/or tenure before completing four years in rank.

If a faculty member has had no prior service at another institution of higher education, he or she normally should be considered for tenure during his or her fifth year of full-time service. A faculty member may request that tenure consideration be deferred from the fifth to the sixth year without prejudice. Consideration cannot be deferred beyond the sixth year however; a candidate must be considered for tenure during his or her sixth year if he or she has not been considered earlier and has not waived consideration. Under no circumstances should the length of the probationary period exceed seven years of full-time service except where the faculty member has agreed in writing that a year in which the faculty member qualified for FMLA leave or took leave without pay will not count towards the probationary period. The written agreement must be received by the Provost within the probationary year in which the extension is requested.

A candidate whose employment began in the period between December 1st and March 15th (roughly between the call for nominations for tenure and final action by the President) may be considered during his or her fourth year of full-time employment. This allows the candidate reconsideration during his or her fifth year without requiring the University to grant de facto tenure if the candidate is denied in the fifth year.

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

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

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

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

DE FACTO TENURE

A faculty member who provided more than seven years of full-time service in faculty rank on a temporary or probationary appointment must be awarded tenure by the President. A faculty member who contends that he or she has served in an academic rank for more than seven years may appeal through the normal administrative chain for consideration of the claim. However, tenure gained this way must be forfeited if it is established that the faculty member's not being recommended for tenure consideration was a deliberate attempt on the part of the faculty member and/or the department head to avoid the formal tenure process in order to acquire de facto tenure.

A full-time faculty member who has served more than seven years in a temporary or probationary appointment is entitled to the procedural protections associated with tenure in any action to terminate his or her services.

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11. PROCEDURE FOR PROMOTION AND TENURE

A. INITIATION OF THE PROCESS

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

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

B. PARTICIPATING FACULTY

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

C. INFORMATION ON THE CANDIDATE

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

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1. GENERAL INSTRUCTIONS

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

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

2. INFORMATION TO BE SUPPLIED BY THE CANDIDATE

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

SCHOLARLY CONTRIBUTIONS BY THE CANDIDATE

A. Teaching

1. *Actual courses taught for each semester of the past three years. Indicate lecture/lab hours per week and enrollment.*
2. *Graduate students whose work has been completed. Indicate degree awarded to the student, year, and, if known, position now held by the student; indicate whether the candidate was the major professor or a committee member.*
3. *Graduate students on whose committee the candidate is presently serving. Indicate whether the candidate is the major professor or a committee member. Indicate the degree the student is working for and the work that the candidate has done.*
4. *Courses and curricula developed.*
5. *Grants received related to teaching.*
6. *Publications pertaining to teaching. Include textbooks, manuals, articles on pedagogy.*
7. *Other contributions to teaching.*
8. *Statement of candidate's teaching philosophy and self-evaluation in terms of his or her stated values. This should be no longer than one page.*

B. Research/Creative Work

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

1. *Books.*
2. *Article-length publications. Distinguish by type: book chapters, articles in refereed journals and invited articles, bulletins, proceedings, transactions, abstracts, book reviews, non-refereed articles, etc.*
3. *Papers or lectures. Distinguish by type: papers at professional meetings, invited lectures, etc.*
4. *Exhibitions. Distinguish between juried or invitational shows; identify work(s) and juror (juries); indicate regional, national, or international exhibitions.*
5. *Performances. Distinguish between local performances, out-of-town invitationals, concert series, etc. List musical compositions here.*
6. *Patents and inventions.*
7. *Other research/creative contributions.*
8. *Grants and contracts. Note all co-authors, identifying the principal investigator and the involvement of the candidate; indicate funding source and amount. Distinguish between grants received and grants applied for but not funded. (Note: internal support and NEH and NEA fellowships should be listed under Honors and Awards above.)*

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

C. Outreach

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

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

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

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

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

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

2. *Activities and Products.* List activities and products using the categories outlined below. There is no page limit on Part B, but candidates are encouraged to be concise in order to focus reviewers' attention on the most important contributions. In particular, numerous activities or products of the same type should be summarized to the extent possible. Brief descriptions accompanied by examples and totals will suffice. See the example of Professor X in [Appendix A](#).

a. *Instructional activities.* List the title or subject of each distinct course or presentation, the type (curriculum, course, workshop, exhibit, etc.), the duration (usually in hours), the candidate's role in creating (developer, presenter), the target audience, the method of reaching the audience (conference presentation, telecommunications, site visit, etc.) and the number of presentations given.

b. *Technical assistance.* List each type of assistance (e.g. job classification), the clientele, the contribution, and the number of times provided.

c. *Outreach publications.* Distinguish by type as indicated in paragraphs B1-B3 above: books (including published manuals and reports), article-length publications, papers and lectures. Provide complete publication data, including number of pages, names of all authors in correct order, and percentage of candidate's contributions. Indicate all refereed or peer-reviewed publications.

- d *Electronic products: computer programs, web sites, etc.*
- e. *Other outreach products: videos, job aids, etc.*
- f *Copyrights, patents, and inventions.*
- g. *Contracts, grants, and gifts.*

D. Service

1. *University Service: Distinguish among service to the University, to the college/school, and to the department. University service as part of a previously held position may be listed here. Administrative work which reduces the candidate's teaching or research assignment should be listed here.*

2 *Professional Service: Service to professional associations and learned societies such as offices held, committees served on, etc.*

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3. INFORMATION TO BE SUPPLIED BY THE DEPARTMENT HEAD

Information should be supplied in each of the following areas:

A. Teaching

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

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

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

B. Research/Creative Work

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

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

C. Outreach

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

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

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

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

D. Service

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

The department head (or the dean) shall solicit information from outside referees in the case of candidates nominated for full professor or librarian IV or archivist IV; he or she may do so in other cases. In consultation with the candidate and the faculty voting on the candidate the head (or dean) shall compile a list of potential evaluators. He or she shall then seek responses from at least three of the potential evaluators. These evaluators shall be people outside of Auburn University who are nationally acknowledged experts in the candidate's field and can comment on the quality and reputation of the candidate's work. If the evaluator is from an academic institution, he or she shall be of higher academic rank than the candidate. Letters from the candidate's major professor for a graduate degree, from former graduate students, and from ongoing research partners are unacceptable. Evaluators may be associated with industry, government agencies, foundations, etc. If these letters arrive in time, they shall be made available to the voting faculty; otherwise, they shall be sent on to the Promotion and Tenure Committee.

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D. CONSIDERATION OF THE CANDIDATE

The candidate's dossier (consisting of the information supplied by the candidate and the information supplied by the department head) and supporting material shall be available for review exclusively by faculty eligible to vote on the candidate. After the faculty has had time to review the dossier and supporting material, the department head shall convene a meeting of all eligible faculty to discuss nomination of the candidate.

Confidentiality and the right of faculty members to express their viewpoints openly without fear of retaliation shall be the hallmarks of the discussion. Departmental deliberations shall be confidential to the extent permitted by law, as shall all documents and testimonies involved at the various levels of the promotion and/or tenure process. If a recommendation is forwarded, all copies of a candidate's dossier shall be destroyed after the Promotion and Tenure Committee's deliberations are completed except for the copy filed permanently in the Office of the Provost. This copy is subject to legal review only under certain conditions.

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E. THE DEPARTMENT'S AND DEAN'S RECOMMENDATION

After the candidate has made a presentation of his or her credentials if he or she so wishes, and after the faculty eligible to vote have had time to discuss the candidate's qualifications in a closed meeting, a secret

ballot shall be taken at the meeting of eligible faculty to determine the final recommendation of the faculty. Faculty members may participate in the promotion and/or tenure recommendation in one of the following ways:

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

If of appropriate academic rank and status, the department head shall vote by secret ballot with the faculty. Any other faculty member serving as an administrator who has an official vote on the candidate at a higher administrative level shall excuse himself or herself at the departmental level. Faculty members who serve in an advisory capacity at the school, college, or University level may vote at the department level but at higher levels shall excuse themselves from decisions on candidates from their departments. Immediate family members shall excuse themselves from voting.

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

The department head and the dean shall communicate the department's and the dean's/College Committee's recommendation respectively to the candidate so that the candidate can make an informed decision about whether or not to continue with the process of seeking promotion and/or tenure. If the candidate wishes to continue the process despite a negative recommendation, the department head and dean shall honor the candidate's request.

The department head and the dean shall provide a written evaluation of the candidate and a recommendation for or against promotion and/or tenure. Faculty members too should be encouraged to write letters explaining why they do or do not favor promotion and/or tenure. Where there are fewer than three faculty members in a department who are eligible to write letters of evaluation, the head may ask for letters from faculty members in other departments who have knowledge of the candidate's professional performance. Letters should address the quality of research/creative work and the candidate's potential for continued work, teaching effectiveness, effectiveness in the area of extension, service contributions and, in tenure cases, the matter of collegiality. In the case of candidates for tenure-on-hire, letters from the candidate's current colleagues as well as from Auburn faculty members are strongly encouraged and should address these same issues.

Faculty should bear in mind that letters to the Promotion and Tenure Committee are an important source of information for the Committee. Letters can help the Committee to make an informed judgment about the candidate's collegiality by addressing the candidate's performance of his or her duties within a department. Letters can also help the Committee, whose members may not come from the candidate's field, understand the significance of the candidate's work and make a fair appraisal of it.

Normally, evaluative letters should be addressed to the department head; however, such letters may be submitted directly to the dean/College Committee or to the Promotion and Tenure Committee. Department heads and deans shall submit all letters of evaluation that are submitted to them.

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F. SUBMISSION OF THE CANDIDATE'S DOSSIER

Colleges/schools will submit dossiers in PDF format to the Office of the Provost on a single data drive.

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

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

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G. Schedule

Nominations for promotion and tenure shall be transmitted to the Promotion and Tenure Committee. The specific date shall be announced in the annual call for nominations from the Provost. The candidate's dean and/or College Committee shall request material early enough to make a recommendation to be forwarded with the candidate's dossier.

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H. UNIVERSITY LEVEL REVIEW AND RECOMMENDATION AND NOTIFICATION OF THE CANDIDATE

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

When the President approves a recommendation for promotion and/or tenure, the candidate shall be notified in writing by the President, with copies of the notification to the department head, dean, and Provost. The candidate shall receive a copy of the Personnel Action Form authorizing the change in rank. When the President does not approve a candidate for tenure and/or promotion, the candidate shall be notified in writing by the Provost. Copies of the notification shall also go to the department head and dean. If the candidate so requests, he or she shall be informed of the numerical vote and provided with a written statement of reasons why the recommendation was not approved. If the President overrules a recommendation, he or she shall inform the Promotion and Tenure Committee in writing within a month's time of the overruling and the reasons for it.

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

The procedure for promotion shall differ from that outlined above in one case: when a faculty member is hired at the assistant professor level but has had to be appointed as an instructor because the terminal degree was still in progress, he or she may be promoted to assistant professor once the terminal degree is completed. Such

a promotion requires the recommendation of the department head, the concurrence of the dean and the Provost, and the approval of the President. It shall be effective at the beginning of the semester following completion of the terminal degree.

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

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

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12. CONTINUATION OF APPOINTMENT

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

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

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

A faculty member who holds an appointment for a specified period of time does not have a commitment for continuation of appointment or reappointment beyond that period unless such commitment is set forth in writing either by letter or by execution of a Personnel Action Form.

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13. RETIREMENT

A. RETIREMENT AGE

There is no mandatory retirement age.

B. RETIREMENT PLANNING

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

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

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

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

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C. RETIREMENT PROMOTION POLICY AND PROCEDURES

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

The retirement promotion is approved administratively by the Provost and the President on the recommendation of the department head and dean; it does not require detailed justification or review by the Promotion and Tenure Committee. The recommendation should be made only when the effective date will occur within the 12 month period immediately prior to the faculty member's known retirement date. A retirement promotion is for the purpose of allowing a faculty member to qualify for emeritus status; such a promotion does not bear a relationship to salary improvement or retirement income.

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

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D. EMERITUS STATUS POLICY AND PROCEDURES

ELIGIBILITY

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

or more of sustained meritorious service to Auburn University.

PROCEDURES

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

PRIVILEGES

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

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

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14. APPEAL OF PROMOTION AND TENURE DECISIONS

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

1. The denial of promotion or tenure resulted from the fact that all evidence in support of the candidate was not presented at the time of the original consideration.

2. The denial resulted from procedural irregularities concerning advisement and periodic review or a failure to follow promotion and tenure procedures of the department, college, school, or University.
3. The denial was based significantly on considerations violative of academic freedom.
4. The denial was based significantly on discrimination with respect to race, sex, religion, national origin, age, physical handicap, marital status, or sexual orientation.

A faculty member who contends unjust denial of promotion or tenure may choose to discuss the reasons for denial and the appeals process with the Provost. Appeals should be made in writing to the Provost through the department head and dean within 14 calendar days of the date of the faculty member's receipt of written notification of denial.

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

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

The Appeals Committee shall be comprised of the following:

1. Current members of the Promotion and Tenure Committee, and
2. Three additional faculty members who have recently served on the Promotion and Tenure Committee, none from the appellant's department. Each year the Provost will appoint these members and one alternate, who will substitute for one of the additional members if an appellant is from his or her department, from a list of six nominations provided by the Senate Rules Committee.

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

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

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15. NONCONTINUATION OF APPOINTMENT

Notice of noncontinuation prior to a tenure decision shall be given in writing to full-time faculty members on probationary appointment. If a faculty member whose appointment is not to be continued so requests, he or she shall be provided with a written statement of reasons why the appointment is not to be continued. If he or she believes that the decision was based on inadequate consideration in terms of the relevant standards of the institution, appeal may be made to an appellate body elected by the faculty. This body shall review the faculty member's allegation to determine whether the decision was the result of adequate consideration in terms of the relevant standards of the institution. The review committee shall not substitute its judgment on the merits of the faculty member for that of the faculty body that made the original decision. If the review committee

believes that adequate consideration was not given to the faculty member's qualifications, it will request reconsideration by the faculty body, indicating the respects in which it believes the consideration may have been inadequate. It will provide copies of its findings to the faculty member, the faculty body, and the President.

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

The following schedule applies to notice of noncontinuation:

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

1. By February 15 of the first academic year of service.

2. By December 31 of the second academic year of service.

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

B. For 12-month appointments:

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

2. 12 months prior to noncontinuation after three years of service.

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

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

16. DISMISSAL

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

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

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

Just Cause Resulting from Misconduct

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

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

Just Cause Resulting From Performance

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

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

3. Serious or substantial neglect of professional or academic responsibilities.

Initiation of Dismissal Proceedings

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

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

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

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

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

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

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

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

Hearing Panel

For purposes of conducting a dismissal hearing and immediately prior to the beginning of the hearing, the Faculty Dismissal Hearing Committee (“Hearing Committee”) shall be reduced to a Hearing Panel consisting of five (5) sitting members. Any member of the Hearing Committee may be excused as a result of personal involvement in the case or for other justifiable reasons. The faculty member and the University administration shall have the option of challenging and having struck from the Hearing Committee up to two (2) members each, without stated cause. The challenges shall be in alternate order, with the faculty member being allowed the first challenge. Whatever further reduction is necessary to arrive at five (5) members shall be accomplished by lot. If the Chair of the Hearing Committee is removed, the remaining Hearing Panel members shall elect a Chair for the case under consideration. The Chair of the Hearing Committee shall not be subject to removal by lot.

Dismissal Hearing

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

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

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

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

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

The Hearing Panel shall not be bound by strict rules of legal evidence, however, it shall make every effort to obtain the most complete and reliable evidence available which is relevant and material to the charges.

Accordingly character testimony will ordinarily not be admissible on the question of the charges but may be admissible on the issue of sanctions. The Hearing Panel shall grant adjournments to enable either party to

investigate evidence if a valid claim of surprise is made.

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

Hearing Panel Recommendation

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

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

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

Suspension Pending the Outcome of the Dismissal Process

Suspension With Pay:

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

Suspension Without Pay:

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

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

Terminal Salary

A terminal salary shall not be provided to a faculty member who is dismissed as a result of misconduct as described in this statement. A terminal salary shall be provided to a faculty member who is dismissed as a result of performance as described in this statement according to the following schedule:

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

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17. TERMINATION BECAUSE OF FINANCIAL EXIGENCY

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

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

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

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

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

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

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

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18. TERMINATION WITHOUT FINANCIAL EXIGENCY

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

1. The decision to discontinue formally a program or department shall be based essentially upon educational considerations as determined primarily by the faculty as a whole or an appropriate faculty committee. It should be recognized that educational considerations do not include cyclical or temporary variations in enrollment. They must reflect long-range judgments that the educational mission of the University as a whole shall be enhanced by the discontinuance.
2. Before the administration issues notice to a faculty member of its intention to terminate an appointment because of discontinuance of a program or department, the institution shall make every effort to place the faculty member in another suitable position. If such placement would be facilitated by training, financial and other support for such training shall be proffered. If no position is available, the faculty member's appointment may be terminated but only with a severance salary equitably adjusted to the faculty member's length of past and potential service.
3. A faculty member may appeal a proposed relocation or termination resulting from a discontinuance and has a right to a full hearing before a faculty committee. The essentials of an on-the-record adjudicative hearing shall be observed. The issues in such a hearing may include the institution's failure to satisfy any of the conditions in this section of the Handbook (Ch. 3, Section 18). In such a hearing, a faculty determination that a program or department is to be discontinued shall be considered presumptively valid, but the burden of proof on other issues shall rest on the administration.

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Examples of Outreach Portfolios

The following examples illustrate how faculty in different fields and with different outreach commitments might compile their portfolios. The examples are drawn from cases at Auburn University, but they represent only portions of successful candidates' records. They cannot be used as benchmarks for measuring the level of achievement necessary for promotion.

EXAMPLE 1: Portfolio Item for X, Professor, Nutrition and Food Science, Extension Faculty

Part 1: Commentary

Program 1. Maternal and Infant Health

a. Description. The field of maternal and infant health applies the science of nutrition to improve the health of expectant mothers and their newborn babies. The specialized nutritional needs of these two groups make this an important area of academic concentration. Furthermore, it is an area of pressing social concern, especially in Alabama, which has the highest infant mortality rate in the nation. My work in this area is best illustrated by two programs, called "Today's Mom" and "Mon's Helper."

Today's Mom, a program to improve the nutrition of limited-resource women during pregnancy.

Today's Mom was developed in 1987 to combat infant mortality in Alabama, which has the highest rate in the nation. The main contributor to the high infant mortality rate is infants of low birthweight, or less than 5 pounds. A prenatal weight gain of 25 to 35 pounds is recommended for mothers in order to ensure healthy babies at birth. Furthermore, the gain should follow a specified pattern. Limited resource individuals are at higher risk for delivering low birthweight babies than is the rest of the population. Today's Mom teaches nutrition to this target group.

The method to reach these hard-to-reach individuals relies on paraprofessionals. The program consists of recruiting and training these paraprofessionals to identify the high-risk mothers and instruct them in a series of six-week classes, using a specially developed curriculum. In order to document the impact of Today's Mom they collect dietary information from the mothers and birthweight data on the infants. This information is analyzed to measure the effectiveness of the program.

As part of the team that developed the original Today's Mom program, I assisted with the curriculum development and implementation. I had sole responsibility for evaluation of the program. After the initial trial period, I rewrite the curriculum and have taken sole responsibility for the overseeing the nutritional content and the evaluation of Today's Mom.

Mom's Helper, an in-home breastfeeding support program for limited-resource females.

The goal of this program is to increase breastfeeding and the use of proper breastfeeding techniques among low-income mothers in Alabama. In the early 1990's some groups in Alabama, especially the poor and minorities, had breastfeeding rates at the time of hospital discharge of about 10 percent, compared to a nationally recommended rate of 75 percent. The link between proper breastfeeding and the health of infants was already well established. So, the need was to create and test a program to improve breastfeeding among the target population.

I adapted the concept of peer counselors, trained paraprofessionals, to provide continued assistance, support, and encouragement for expectant and new mothers. A USDA grant funded a three-year pilot project (1992-1995) in four rural Alabama counties, where we found a breastfeeding rate among the target population of only 6 percent. I directed the project, wrote the manual, designed and conducted the training program for the peer counselors, created three assessment instruments, and collected and analyzed data to evaluate the results. Based upon its documented success, the program has been expanded to eighteen counties.

The unique design of Mom's Helper offers valuable assets to a rural community by bridging the gap between professionals and clients in communities that lack adequate health care. Moreover, this assistance can be provided as house visits or hospital visits, thereby removing a transportation barrier. I continue to support all phases of the program.

b. Mission. I have a 100% Extension appointment and hold the only Extension nutritionist faculty position in Alabama. The Maternal and Infant Health program is an important part of Extension's mission and certainly a major part of mine. I have devoted approximately 25 percent of my time to this area.

c. Scholarship. My work in maternal and infant health exhibits scholarship of integration and application. It draws upon the following disciplines:

- Nutrition. It is well documented that healthy mothers have healthy babies. Well-nourished mothers contribute to the nutritional well-being of the baby. Moreover, important substances, such as colostrum, are only passed to infants by nursing mothers. Babies cannot receive these important immune protectors that fight infections through formula.
- Child development. Babies that weigh at least 7.5 pounds have fewer developmental problems than low birthweight babies. Furthermore, research documents that breastfed children score higher on I.Q. tests than their formula-fed counterparts. Finally, breastfeeding allows skin-to-skin contact between mother and child that has been found to be an important developmental need of an infant.
- Anatomy & physiology. Many mothers do not understand the supply and demand cycle of breastfeeding. A clear understanding of the breast anatomy and physiology during lactation is essential to successful breastfeeding. In addition, proper positioning of the infant during breastfeeding leads to longer duration of breastfeeding.
- Education and peer counseling. Both programs involve a variety of teaching techniques. Peer counselors and paraprofessionals are extensively trained in methods for educating mothers on nutrition, anatomy and physiology, and health. In addition, they are instructed on group teaching dynamics and individual counseling.

Both Today's Mom and Mom's Helper required careful evaluation in order to test the utility of the design for the target population. This work has resulted in a number of publications and other products, which are listed under research or outreach in this dossier:

- three refereed articles (Prof. X, Marshall A (1999); Prof. X, Tate D, Blount L, Goebel V. (1989); Barron S, Lane H, Hannon T, Prof. X, Williams J (1988) and two others under review
- one invited article, Prof. X (2000)
- two national reports, Prof. X, Bobroff L, Forester D (1991); and Prof. X, Witcher B (1989)
- nine abstracts
- thirty-seven Extension publications
- six curricula and manuals
- three videos

In the last eight years I have been asked to referee 16 journal articles dealing with infant or maternal health.

d. Impact and recognition. The design of Today's Mom won two awards: United States Department of Agriculture (USDA) "Superior Service National Group Award" and the "Teamwork in Extension Award" from the Alabama Cooperative Extension Service, both in 1991. The program is now operating in 40 Alabama counties. Its effectiveness can be seen in the fact that in 1989-99 the rate of infant mortality for Today's Mom participants, a highly vulnerable group, was less than one third of the state average. The Today's Mom program was a pioneer infant and maternal health program in the United States. Every aspect of the program, including the curriculum, the publications, and videos have been purchased for use in thirty other states at last count. One Extension publication, *Baby's First Year Calendar*, has sold over 500,000 copies.

The proposal for the Mom's Helper pilot project won a USDA grant of \$92,000. As a result of the pilot, breastfeeding among the target population of 528 women rose from 6 percent to 51 percent. Cooperative Extension has now implemented the program in 18 counties. At last count, fifteen other states have purchased the manual for use in breastfeeding programs.

A recent study at Iowa State University indicated that each \$1 spent on individuals in the Expanded Food and Nutrition Education Program, in which Today's Mom and Mom's Helper have been incorporated, saves \$10.64 in health care costs. The savings for Alabama is in excess of \$20.3 million annually.

Program 2. Nutrition Education

(Omitted in this example.)

Part 2: Products and Activities

a. Instructional activities. The instructional challenge of my work is to make research information on good nutrition and its health benefits accessible to target populations in Alabama. The task of presenting the information to these groups falls primarily on the network of Extension Agents and associated paraprofessionals. My roles are to monitor current research in the science of nutrition, translate findings into usable information that fits the culture and educational levels of the audiences, and instruct the instructors in the delivery of this information. Instructional products and activities include:

(1) Curricula.

Prof. X. Mom's Helper: *An In-Home Breastfeeding Education and Support Program*. Auburn, Ala: Alabama Cooperative Extension System; 1999.

Prof. X. Jones F. *Simply Good Cooking*. Auburn, Ala: Alabama Cooperative Extension System; 1997. (75% contribution)

Dicken B., Minniefield D., Prof. X. *Meal Time Family Time*. Auburn, Ala: Alabama Cooperative Extension System; 1996. *NOTE: evaluation in progress.* (95% contribution)

Struempfer, B. *Eating Right is Basic*. Auburn, Ala: Alabama Cooperative Extension System; 1996. *NOTE: original curriculum from Michigan; major revisions made for use in Alabama's Nutrition Education Program.*

McLean R, Prof. X. *Play it Safe Bingo*. Auburn, Ala: Alabama Cooperative Extension System; 1996. (30% contribution)

Prof. X, Jelinek S. *Salt & Pepper*. Auburn, Ala: Alabama Cooperative Extension System; 1996. (50% contribution)

Prof. X, Sealey-Potts C. *Let's Eat*. Auburn, Ala: Alabama Cooperative Extension System; 1995. *NOTE: evaluation in progress.* (95% contribution); 1996 revision (100% contribution)

Prof. X, Sealey-Potts C. *Good Food, Good Health*. Auburn, Ala: Alabama Cooperative Extension System; 1995. *NOTE: evaluation in progress.* (95% contribution); 1996 revision (100% contribution)

Prof. X, Sealey-Potts C, Derrig J. *Nutrition Activities Sourcebook, Volume I*. Auburn, Ala: Alabama Cooperative Extension System; (50% contribution)

Prof. X, Sealey-Potts C, Derrig J. *Nutrition Activities Sourcebook, Volume II*. Auburn, Ala: Alabama Cooperative Extension System; 1995. (50% contribution); 2000 revision (100% contribution).

Prof. X, Sealey-Potts C. *Food Demonstration Packet*. Auburn, Ala: Alabama Cooperative Extension System; 1995. (50% contribution); 2000 revision (100% contribution)

Prof. X. *Eating Right is Basic Leader Guide*. Auburn, Ala: Alabama Cooperative Extension System; 1995.

Prof. X, Jarrett J. *Today's Mom*. Auburn, Ala: Alabama Cooperative Extension System; 1994. (60% contribution)

Prof. X, Gaines M, Lovelace D. *Mom's Helper*. Auburn, Ala: Alabama Cooperative Extension System; 1994. (90% contribution)

Prof. X. *Take the Lean Step, Stop Those Extra Pounds*. Auburn, Ala: Alabama Cooperative Extension System; 1992.

Prof. X. *Prime Time Nutrition...For Mature Individuals Only*. Auburn, Ala: Alabama Cooperative Extension System; 1992.

Blount L, Goebel V, Prof. X, Crayton E. *Today's Mom Program Manual*. Auburn, Ala; Alabama Cooperative Extension System; 1991. (30% contribution)

(2) Instructional games.

Prof. X, Hayner D. *Come and Get It*. Auburn, Ala: Alabama Cooperative Extension System; 2000. (60% contribution)

Prof. X, Parmer S. *Who wants to be a millionaire...and a nutrition whiz?* Auburn, Ala: Alabama Cooperative Extension System; 2000. (50% contribution)

Prof. X, Cobrin S. *Feed Your Mind*. Auburn, Ala: Alabama Cooperative Extension System; 1999.(60% contribution)

(3) Alabama In-Service Training. One of my responsibilities as the Extension Nutritionist is to provide in-depth training for Extension County Agents, Extension Program Assistants and non-Extension health care professionals. The training sessions present current research information to keep professionals up-to-date or new curricula. I have presented a total of 31 such training sessions ranging from one to five days. In 24 of the cases I was also the developer or co-developer. Examples include:

"Today's Mom." Alabama Cooperative Extension Service: 20 Supervising Agents/Program Assistants, instructional full-day workshop, New Brockton, April 1992, developer, presenter.

"Mom's Helper," Alabama Cooperative Extension System: 35 Supervising Agents/Program Assistants, instructional three-day workshop. Auburn, January 1999, developer, co-presenter

(4) Lectures and workshops, 1984-1999.

Research-based lectures for Alabama Extension personnel - 16

Research-based lectures for non-Extension professionals in multi-county meetings - 18

Lectures for statewide audiences - 33

Presentations for regional, national, or national meetings - 16.

(5) Mass Media. This includes clips and interviews for radio and television, articles for distribution to newspapers and magazines, articles for newsletters, copy for County Agents to use in local newspapers. From 1984 through 1999 I made 1,637 such contributions to mass media.

b. Technical assistance (problem solving).

Part of my responsibility as the state nutritionist is to respond to individual inquiries. From 1984 through 1999 I dealt with 35,800 contacts by telephone, mail, or email.

In addition, I led or contributed to the following major projects:

“Today’s Mom,” a program to improve the nutrition of limited-resource women during pregnancy. (Described in Commentary, above.)

Mom’s Helper, an in-home breastfeeding support program for limited-resource females. (Described in Commentary, above.)

“Nutrition Education Program in Alabama,” a program to improve the nutrition of all limited-resource individual in Alabama. I am co-PI for this annual contract, totaling more than \$8 million in 2000-01. I direct all nutrition activities for 70 professionals that teach nutrition mainly throughout the school systems in Alabama.

c. Outreach publications.

(1) Books

Prof. X. *Diabetes Learn-at-Home*. Auburn, Ala: Alabama Cooperative Extension Service; 1987. 89 pages.

(2) Published manuals and reports.

Prof. X, Bobroff L, Forester D. Extension in the Nineties: Addressing Critical Issues in Nutrition, Diet and Health. *National Association of State Universities and Land-Grant Colleges (NASULGC) Extension Committee on Organization and Policy (ECOP)*. 1991. (33% contribution) 27 pages.

Prof. X, Witcher B. Infant Mortality: Implications for Nutrition Education. *National Association of State Universities and Land-Grant Colleges (NASULGC) Extension Committee on Organization and Policy (ECOP)*. 1989. (50% contribution). 18 pages.

(3) Article-length publications. (Note: research articles based on Extension work are listed under Research.)

Prof. X, Brown A, Sanders L, Jelinek S. Understanding of the new food label by extension professionals. *Journal of Extension*. April 1997 (35); pp 1-5. (electronic journal; 70% contribution). Refereed.

Prof. X. Cardiovascular update '86--cooking lite, eating right. *Extension Review*. Spring Edition. 1987; 28-29. Refereed.

Prof. X. Progress toward nutrition-related Healthy Alabama 2000 objectives. *Journal of the Alabama Academy of Sciences*. 1993; 64:298-310. Invited.

(4) Proceedings

Prof. X. *Apples -- With or Without Worms*. Southern Regional Workshop on Sustainable Agriculture. 1991; 8 pages.

Prof. X. *Linkages: Agricultural Production and Human Health*. National Extension Integrated Pest Management Conference. 1990; 66-67.

(5) Other types of publications

Abstracts, a total of 24. Examples include:

Prof. X. *Simply Good Cooking: A Community Nutrition Program*. Society for Nutrition Education, 1999.

Prof. X, Marshall A. *Nutrition knowledge and dietary habits of limited resource Alabamians*. Society for Nutrition Education, July 1998.

Invited Book and Journal Article Reviews, a total of 16. Examples include:

Prof. X. A Comparison of the Relationship Between Nutrition Knowledge and Nutrition Risk of Elderly Residing Independently in the Community. *Journal of Nutrition for the Elderly*, November 1999.

Prof. X. Evaluation of a Training Program Preparing Abuelas as Nutrition Educators. *Journal of Nutrition Education*, November 1999.

Prof. X. Improving nutrition of elders: A review of the literature and suggestions for a comprehensive treatment program. *Journal of Nutrition for the Elderly*. October 1998.

Prof. X. Nutrition beliefs and weight loss practices of Lakota Indian adults. *Journal of Nutrition Education*. March 1999.

Consumer publications. Consumer publications are an important educational tool in Extension outreach. As the Extension Nutritionist, one of my main responsibilities is to prepare publication for free distribution to consumers in Alabama. Based on issue and needs of Alabamians, publication topics are selected. Topics vary widely as needs differ among audiences. Target audiences may include adult consumers, teenagers, mothers with young children and the elderly. Consideration must also be given to literacy levels so that outreach can be most effective. In general, publication topics include weight management, pregnancy and breastfeeding, general health and wellness and diet/disease relationships. Total - 90 such publications. Examples include:

Prof. X, Marshall A. *Food News: Eat More With Less*. Auburn, Ala: Alabama Cooperative Extension System; 1995. HE-740. *NOTE: 100,000 copies were distributed in a 2-month period to food stamp recipients in Alabama. (70% contribution)*

Prof. X. *Trim and Slim Learn-at-Home*. Auburn, Ala: Alabama Cooperative Extension Service; 1984; HE-548 (5 lessons). *NOTE: I received a National Merit Award (one of ten) from the Food and Drug Administration (FDA) and National Coalition for Consumer Education publication contest in 1988.*

Prof. X, Knight P. *Drug-Nutrient Interactions*. Auburn, Ala: Alabama Cooperative Extension Service; 1987; HE-594. *NOTE: distributed through the Veterans Hospital Administration in all states. (50% contribution)*

d. Electronic products: computer programs, web sites, etc.

Prof. X. *Nutriquiz*. Auburn, Ala: Alabama Cooperative Extension Service; 1985. *NOTE: first computer program developed in Alabama Extension Home Economics programs. (developer)*

e. Other outreach products: videos, job aids, etc. I wrote video texts and outlined the visual pictures, coordinated most of the video production, located and scheduled actors and actresses for production, supervised editing and final production and approved the final videos.

Prof. X. *Food Labels: Reading Between the Lines*. Auburn, Ala: Alabama Cooperative Extension Service; 1994, 35 minutes. *NOTE: Video was introduced nationally as part of a 60-minute satellite program.*

Prof. X, Fowlkes B. *Menu Planning in 12 Easy Steps*. Auburn, Ala: Alabama Cooperative Extension Service; 1994, 11 minutes. *NOTE: All 900 child care providers in the United States Department of Agriculture (USDA) Child and Adult Care Food Program in Alabama have been instructed by this video education. (50% contribution)*

Prof. X. *Teen Nutrition (Part I)*. Auburn, Ala: Alabama Cooperative Extension Service; 11 minutes.

Prof. X. *Teen Nutrition (Part II)*. Auburn, Ala: Alabama Cooperative Extension Service; 1991, 11 minutes.

Prof. X. *Prime Time Nutrition (Part I)*. Auburn, Ala: Alabama Cooperative Extension Service; 1991, 20 minutes.

Prof. X. *Prime Time Nutrition (Part II)*. Auburn, Ala: Alabama Cooperative Extension Service; 1991, 12 minutes.

Prof. X. *Food Labeling Update*. Auburn, Ala: Alabama Cooperative Extension Service; 1991, 5 minutes.

Prof. X. *Nutrition and the Elderly*. Birmingham, Ala: Veterans Administration Hospital; 1990, 55 minutes. *NOTE: Video was distributed nationally through Veterans Administration Hospital system.*

Prof. X. *Image Building*. Auburn, Ala: Alabama Cooperative Extension Service; 1988, 5 minutes.

Prof. X. *Cholesterol 200--Eating For Your Heart's Sake*. Auburn, Ala: Alabama Cooperative Extension Service; 1988, 15 minutes. *Note: According to video library records, this video was the most widely distributed Alabama Extension video nationally (n=35 states) and the most requested video statewide in 1998-90.*

Prof. X. *Dairy Does A Body Good*. Chicago, Ill: National Dairy Council; 1988, 10 minutes and guide for youth education.

Zenoble O, Prof. X. *Mom To Be: It's O.K. To Gain Weight*. Auburn, Ala: Alabama Cooperative Extension Service; 1988, 14 minutes. *NOTE: Video has been purchased by 30+ states; used with Today's Mom curriculum. (40% contribution)*

Zenoble O, Prof. X. *Mom To Be: Old Wives' Tales For New Mothers*. Auburn, Ala: Alabama Cooperative Extension Service; 1988, 19 minutes. *NOTE: Video has been purchased by 30+ states; used with Today's Mom curriculum. (40% contribution).*

Zenoble O, Prof. X. *Mom To Be: Eating Right For Your New Baby*. Auburn, Ala: Alabama Cooperative Extension Service; 1988, 19 minutes. *NOTE: Video has been purchased by 30+ states; used with Today's Mom curriculum. (40% contribution)*

Prof. X. *Cooking Lite, Eating Right*. Auburn, Ala: Alabama Cooperative Extension Service; 1987, 22 minutes. *NOTE: According to Extension Communication video library records in 1987, this video was the most widely distributed Alabama Extension video nationally (n=25 states) and the most requested video statewide in 1987.*

Prof. X. *Eating For Your Health*. Auburn, Ala: Alabama Cooperative Extension Service; 1987, 15 minutes.

Prof. X. *Health Related Fitness In-Service Training*. Auburn, Ala: Alabama Cooperative Extension Service; 1987, 30 minutes.

f. Copyrights, patents, and inventions. None.

g. Contracts, grants, and gifts.

Johnson M, Prof. X, Turner J. *Food Stamp Project Nutrition Education Program*. Funded by U.S. Department of Agriculture, Food and Nutrition Service. This is a series of six grants awarded annually from 1995 through 2001 totaling over \$16.5 million with another \$17 million in match provided by the Alabama Cooperative Extension system. I serve as co-principal investigator with a 33 percent contribution.

Prof. X, Turner J, Johnson M. *Nutrition Education Plan*. Funded by United States Department of Agriculture Food and Consumer Services. \$1,200,000. Project period October 1995 through September 1996. *NOTE: In addition, \$1.2 million provided was match by the Alabama Cooperative Extension System for project total of \$2,400,000.* (Co-PI, 33% contribution).

Prof. X. *Mom's Helper*. Funded by United States Department of Agriculture Cooperative Extension Service. \$92,000. Project period October 1992 through September 1995.

Prof. X. *5-A-Day Focus Groups*. Funded by Alabama Association of Family and Consumer Sciences. \$500. Project period May 1994 through April 1995.

Prof. X. *Physicians' Alabama Opportunity Fair*. Alabama Family Practice Rural Health Board. \$20,000. Project period January 1992 through December 1992.

Prof. X. *Healthy Beginnings Newsletter*. Funded by March of Dimes, Southern Region. \$5,000. Project period January 1991 through December 1991.

Prof. X. *Healthy Beginnings Newsletter*. Funded by March of Dimes, Northern Region. \$10,000. Project period January 1991 through December 1991.

Prof. X. *Peer Support Intervention for Cardiovascular Risk among African-American Women, Ages 40 and Older*. Funded by National Institute of Health, subcontract with University of Alabama at Birmingham. \$14,215. Project period September 30, 1999 through September 28, 2000.

Prof. X. *Peer Support Intervention for Cardiovascular Risk among African American Women, Ages 40 and Older*. Funded by National Institute of Health, subcontract with University of Alabama at Birmingham. \$12,000 for a graduate student assistantship. Project period September 30, 1999 through September 29, 2000.

Prof. X. *Peer Support Intervention for Cardiovascular Risk among African-American Women, Ages 40 and Older*. Funded by National Institute of Health, subcontract with University of Alabama at Birmingham. \$14,215. Project period September 30, 1998 through September 28, 1999.

Prof. X. *Peer Support Intervention for Cardiovascular Risk among African-American Women, Ages 40 and Older*. Funded by National Institute of Health, subcontract with University of Alabama at Birmingham. \$12,000 for a graduate student assistantship. Project period September 30, 1998 through September 29, 1999.

Prof. X. *Peer Support Intervention for Cardiovascular Risk among African American Women, Aged 40 and Older*. Funded by National Institute of Health, subcontract with University of Alabama at Birmingham. \$42,865. Project period September 30, 1997 through September 29, 1998.

Prof. X. *Peer Support Intervention for Cardiovascular Risk among African-American Women, Ages 40 and Older*. Funded by National Institute of Health, subcontract with University of Alabama at Birmingham. \$12,000 for a graduate student assistantship. Project period September 30, 1997 through September 29, 1998.

Jelinek S, Prof. X, Johnson M. *Food Stamp Education (Nutrition) Network*. Funded by United States Department of Agriculture Food and Consumer Service. \$99,949. Project period October 1996 through December 1997. (10% contribution)

Prof. X. *Nutrition Network Plan*. Funded by United States Department of Agriculture Food and Consumer Service. \$93,916. Project period October 1995 through September 1996.

Prof. X. *Peer Support Intervention for Cardiovascular Risk among African American Women, Aged 40 and Older*. Funded by National Institute of Health, subcontract with University of Alabama at Birmingham. \$80,307. Project period October 1995 through September 1997. NOTE: An additional \$45,000 was awarded for a 3-year Auburn University research assistantship through the University of Alabama at Birmingham.

I solicited a total of \$63,633 in gifts to support various Extension programs.

EXAMPLE 2: Portfolio Item for Y, Professor, Political Science

Part 1: Commentary

Program 1. Election Administration

a. Description. Election administration deals with the myriad functions necessary to carry on elections: registering voters, certifying candidates, preparing ballots, recruiting and training poll workers, overseeing absentee voting, compiling returns, conducting recounts, etc. In the last comprehensive book on the subject, published by the Brookings Institution in 1934, Joseph Harris wrote: "There is probably no other phase of public administration in the United States which is so badly managed as the conduct of elections." Since that time, changes in law and demographics have made the job much more complicated than it was then. Yet before the activities described here there was no national training and certification program and few comprehensive state programs.

Proper administration is obviously critical to the operation of democracy. While laws can set out goals and general procedures, they will not have the desired effects unless they are carried out with competence and integrity. The history of the voting rights struggle in the South and complaints about rigged elections in many other nations attest to the importance of administration.

I began my scholarly interest in this field with a dissertation on the effects of election laws on the ability of the electorate to guide the policies of elected officials. Since then I have participated in a number of outreach projects which have both served the public and increased my knowledge of the field. Three examples illustrate the nature and the cumulative effect of the work

A Training Program for County Election Officials.

Alabama election law divides administrative responsibility among six different offices in each county - probate, judge, sheriff, clerk, registrar, county commissioner and party chairs - each of whom can interpret the law independently within limits set forth in court decisions. I was tasked with creating a statewide training and reference program. My method was to first define the election functions for each office, largely by studying existing practices in sample counties and by interviewing representatives of private companies that printed materials and provided most of the training. Then I analyzed each electoral provision of the Code of Alabama, linking each legal mandate to an administrative function. This step revealed a number of inconsistencies, conflicts, and gaps, which I sought to resolve by reference to court and attorney general opinions. The result was a manual with a section for each office organized by administrative function and cross-referenced to the Code, legal interpretations, and the relevant functions of every other office. (Copy attached.) Other materials included job aids and sound-and-slide presentations for the training of poll workers.

Implementation of *Harris v. Siegelman*

In 1988 a federal court order overturned part of Alabama's election laws governing the appointment of poll workers and the conduct of elections at the polling place. As part of the remedy the state was to recruit bi-racial teams of volunteer trainers who would go into 65 of the 67 counties, hold training sessions for anyone wishing to become a poll worker, certify the results to the county appointing boards, and evaluate the counties' implementation of the changes. There was little more than two months to conduct the program before the county appointing boards met. Drawing upon information developed for the earlier training program and my own research on policy implementation, I led the effort by the Center for Governmental Services (CGS) that successfully prepared new materials, recruited and trained volunteers, and trained, tested, and certified prospective poll workers throughout Alabama in time for the election. Later, I collected data on county implementation and prepared a report for the court. I continued to consult on implementation in subsequent elections through 1992.

A National Training Program in Election Administration

The Election Center is a national organization of mostly state and local election officials. It has helped them recognize common administrative problems and goals, despite the differences in state law and administrative structures. Ever since a series of state workshops sponsored by the Federal Election Commission in the early 1980s, officials had been discussing the need to professionalize their work. There is no degree program to prepare people for careers as election officials and, until recently, there was no certification program. In 1992 the Election Center asked me to help create a certification program. For several years I developed and taught most of the courses and relied on faculty from other institutions for the rest. Then we decided to recruit and rely exclusively upon the Auburn MPA (Master of Public Administration) faculty. Representatives of the Election Center came to Auburn, met with the faculty, and together we designed a series of courses which applied general theories of public administration to the more specialized field of election administration. We now have a basic program consisting of twelve CEU courses, each consisting of nine hours of instruction over a day and a half. We offer over at least ten courses a year at various locations around the nation. The program is self-supporting.

b. Mission.

The training program for Alabama election officials was within the mission of Office of Public Service and Research (later renamed the Center for Governmental Services) where I served as assistant director on a one-half time appointment. Later, the mission of election administration was adopted by the Master of Public Administration Program within the Department of Political Science, which is my home department.

c. Scholarship.

My work in election administration draws upon three important fields of political science: elections, public administration, and - to a lesser extent - constitutional law. The *Alabama Election Officials' Handbook* required an analysis of administrative functions as they flowed through multiple offices, most of which did not have elections as their primary responsibility. The training and reference materials were distributed to each every county in Alabama and examples were given by the Federal Election Commission to several other states.

This analysis of Alabama law and practice later proved essential to the rapid implementation of *Harris v. Siegelman*. For example, it allowed me to quickly identify a practical conflict between a proposed requirement and a federal statute. In addition, I drew very heavily on the implementation literature, including theory that Larry O'Toole and I had developed (Prof. Y and O'Toole, 1979; O'Toole and Prof. Y, 1984). The experience with volunteers subsequently formed the basis of another research article (Prof. Y and Brudney, 1991).

The curriculum for the Election Center is based largely on elements of the Auburn MPA program, for which I was the first director. The classes are participatory and, in effect, the Auburn instructors test the applicability of public administration theory against the experiences of full-time election administrators from all over the United States.

The three activities just described and others listed in Part 2 all contribute to a body of knowledge in the field. Evidence of recognition includes:

- Peer review and certification of the *Alabama Election Officials' Handbook* by the the Southeastern Consortium of Public Administration (SCUPSO).
- The Alabama training program receiving the 1982 outstanding project award from SCUPSO.
- The Auburn University Excellence in Extension award in 1989 for the implementation of *Harris v. Siegelman*.
- Sole-source contracts from the Federal Election Commission to conduct the motor voter and mail registration studies.
- The only faculty member invited by the Federal Election Commission to participate in a series of national workshops preparing for the implementation of the National Voter Registration Act of 1993.
- The 1996 National University Continuing Education Association award for the Outstanding New Non-Credit Program.

d. Impact.

The direct beneficiaries of these activities have been state and local election officials. (See attached letters.) The Alabama Election Officials Handbook, videos, and job aids were distributed to election officials throughout Alabama. The federal reports were distributed to every state and to government depository libraries. They are also available from the Federal Election Commission. The Election Center manual was also distributed to every state. The newsletters were distributed to public affairs mailing lists in their respective states (Alabama, South Carolina, and Virginia). The newsletters represent continuing public affairs education programs by state universities. I was invited to prepare the report in each case.

The number of invited presentations to meetings of election officials in Alabama and other states are one measure of impact. The fact that 66 of 67 Alabama counties have adopted electronic voting equipment and successfully held hundreds of elections under the rules I drafted is another. Impacts of the *Harris v. Siegelman* implementation included the training and appointment of approximately 13,000 poll workers, who are representative of their county populations, and the satisfaction of the court order, in which the Governor, Attorney General, and Secretary of State were defendants. To date the Election Center program has had 494 participants from throughout the United States and has produced 142 graduates. It has involved seven additional Auburn faculty in a new form of outreach.

An expected impact that cannot be observed directly is the eventual professionalization of election administration in the United States. The literature on professionalism points to the importance of a distinct body of knowledge and an educational program as necessary conditions. The AU - Election Center program is the only certification program for election officials in the United States. It provides not only a common information base but also opportunities for administrators from around the county to interact and develop a heightened sense of mutual responsibility. A major step in that direction was the adoption of the first Code of Ethics for election administrators in the United States. Dr. Christa Slaton, one of the Auburn MPA faculty recruited for the program, worked with recent graduates to produce the Code.

The indirect beneficiaries are the people of the United States whose elections should become more fair, accurate and efficient with greater professionalism among the people who plan and manage them.

Program 2. State and Local Economic Development

(Omitted from this example.)

Part 2. Activities and Products

(Omitted from this example.)

END OF APPENDIX A