

# Faculty Handbook

Effective August 1, 2008





## FACULTY HANDBOOK

Effective August 1, 2008  
by action of the  
Troy University Board of Trustees  
on May 1, 2008

## Preface

This Faculty Handbook reflects University policy as of the date of publication, and it supersedes all previous publications and revisions of all Troy University faculty handbooks. The intent of this publication is to provide information concerning the academic organization of the University, faculty personnel policies, and principal operating procedures.

Policies governing the University are contained in the Troy University e-Policy Manual available at [www.troy.edu](http://www.troy.edu). The process for developing, monitoring, modifying and approving policies is defined in the manual. Requests for policy changes must follow these steps. The Troy University e-Policy Manual also provides links to other documents that house the various University policies and procedures, including the Faculty Handbook.

This handbook is not meant to be inclusive of all University policies and procedures. It should be used as a guide by both faculty and administration in conjunction with other University publications, as appropriate, and it is not considered a part of any faculty contract, tenured or probationary.

In an attempt to keep the Faculty Handbook current, the University Review Committee will review its contents periodically and recommend additions, deletions, or amendments to provisions published in this document.

Faculty members who desire additional information about Troy University policies should consult the e-Policy Manual located on the University web page. Questions regarding these policies should be addressed to the supervisor or dean.

Adherence to the policies and procedures outlined in this document is incumbent upon both faculty and administrative members of Troy University.

As part of a bold strategic plan adopted by the Board of Trustees in August, 2001, separate campus accreditations have been merged under a singly accredited entity—Troy University—for purposes of compliance with the Principles of Accreditation promulgated by the Commission on Colleges of the Southern Association of Colleges and Schools.

### Accreditation

Troy University is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award the associate degree, the bachelor's degree, the master's degree, and the education specialist degree. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia, 30033-4097 or call 404-679-4500 for questions about the accreditation of Troy University. The Commission is to be contacted only if there is evidence that appears to support an institution's significant non-compliance with a requirement or standard.

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Information contained in this document is as current as possible at the time of printing; faculty members will be notified of substantive changes that occur prior to the next edition.

Note: Titles that may be assigned to faculty members within academic units for certain specific departmental duties are not referenced in this Faculty Handbook.

## Grandfather Clause

This Faculty Handbook is based upon a serious and inclusive revision process which involved the thoughts and opinions of faculty, administrators and staff from across the various locales that comprise Troy University. With the consolidation of the three independently accredited campuses into a single University, it became necessary and valuable to compile a single governing Faculty Handbook, representing all University faculty. Although faculty members may find some wording which differs from that in previous Handbooks, as well as an occasional new policy or procedure, many sections of this Handbook remain consistent with earlier versions issued on the Troy, Dothan and Montgomery campuses. Revising the Faculty Handbook offered the academic community of Troy University the opportunity to reflect upon the central mission of academics and the rights and responsibilities of faculty members at Troy University. In the end, this Handbook is a living document which is empowered not only through the words on its pages but also through the dialogue, civility, and community of the University faculty, staff and administration.

Full-time faculty members employed prior to August 1, 2005, who are working toward tenure and/or promotion in academic rank but have not acquired tenure or have not been promoted to the rank of professor, may elect to retain the requirements noted below which affect tenure and promotion in the most recent Faculty Handbook for their respective campuses. These requirements are:

- Years of service for promotion.
- Criteria for promotion.
- Length of probationary period for tenure.
- Minimum time period for tenure consideration.
- Early tenure.
- Credit toward tenure for teaching elsewhere.
- Criteria for tenure.
- Exceptions to tenure.

Affected faculty members must choose between the above requirements set forth in the most recent Faculty Handbook for their respective campuses or this Troy University Faculty Handbook not later than September 15, 2005. A form indicating this choice will be provided to each eligible faculty member by his/her dean. Faculty members shall remain under the requirements they select only until they receive a decision regarding tenure and/or promotion to the next academic rank. Once they have received a decision regarding tenure and/or promotion, all such future personnel decisions will be guided by the requirements set forth in this Troy University Faculty Handbook.

After September 15, 2005, all faculty members who have not made a previous choice as well as those appointed August 1, 2005, and thereafter shall be held accountable to the requirements for tenure and promotion set forth in this Troy University Faculty Handbook.

Faculty members are encouraged to direct questions to their department chairs, associate deans, or deans.

## The History of the University

Troy University's tradition of teaching excellence dates to its founding on February 26, 1887, when an act of the Alabama Legislature established State Normal School, Troy, as an institution to train teachers for Alabama's schools. Joseph Macon Dill was the institution's first president. In 1893, the school was renamed Troy State Normal College. The original campus was located in downtown Troy.

The Normal College offered extension courses for teachers and granted teaching certificates until 1929, when the State Board of Education changed the charter of the institution and renamed it Troy State Teacher's College. That same year, the college moved to its present site and the first two buildings were dedicated: Shackelford Hall, named for Edward Madison Shackelford, president of the school from 1899-1936, and Bibb Graves, Alabama's "education governor." Graves is also remembered for commissioning the Olmsted Brothers architectural firm of Brookline, Mass., to design the Troy campus landscape plan.

Like many American universities, Troy State Teacher's College enjoyed one of its most prosperous periods of growth in the years following World War II, when returning veterans took advantage of the GI Bill. The enrollment of the College more than doubled and this growth led to the introduction of degree programs in disciplines other than education, most notably in business. In 1957, the State Board of Education recognized this expanded role and dropped "Teacher's" from Troy State College's name.

The decade of the 1950s also marked the University's long relationship with the United States Military, as extension courses were offered on nearby bases: first at Fort Rucker, near Dothan, and later at Maxwell Air Force Base in Montgomery. A separate Troy State College teaching center was established at Fort Rucker in 1961, which evolved into the present-day Dothan campus. A similar center, begun at Maxwell Air Force Base in 1965, led to the creation of the present-day Montgomery campus. These programs were the forerunners of the modern University College division of Troy University, which operates all Troy teaching sites outside of Alabama. In 1973, the University opened sites at military bases in Florida. Today, University College operates more than 60 sites in 17 U.S. states and 11 nations.

In 1967, Gov. Lurleen B. Wallace appointed eight members to the newly established Troy State College Board of Trustees, removing the institution from the control of the State Board of Education. One of the first acts of the new board was to recommend the change of the name to Troy State University. The new name became official on Dec. 14, 1967.

In 1975, the Phenix City Campus was opened as a branch of the main campus. In 1982, the Troy State University System was formed, as the campuses in Dothan and Montgomery were granted independent accreditation status.

In April of 2004, the Board of Trustees voted to drop "State" from the University's name to better reflect the institution's worldwide mission. In August 2005, all TROY campuses again became unified under one accreditation.

# Troy University Mission and Goals Statements

Approved by the Board of Trustees, April 16, 2004

Effective August 1, 2005

## Troy University Mission Statement

Troy University is a public institution comprised of a network of campuses throughout Alabama and worldwide. International in scope, Troy University provides a variety of educational programs at the undergraduate and graduate levels for a diverse student body in traditional, nontraditional, and emerging electronic formats. Academic programs are supported by a variety of student services which promote the welfare of the individual student. Troy University's dedicated faculty and staff promote discovery and exploration of knowledge and its application to life-long success through effective teaching, service, creative partnerships, scholarship and research.

## Troy University Goals

1. Provide an international scope to University programs and services.
2. Provide a variety of undergraduate and graduate programs in traditional, non-traditional and electronic formats.
3. Maintain a diverse student population.
4. Provide services that promote the individual welfare of students.
5. Maintain a dedicated faculty and staff.
6. Promote discovery and exploration of knowledge dedicated to life-long learning success.
7. Ensure effective teaching.
8. Ensure the development of creative partnerships, scholarship and research.
9. Ensure efficient and effective operations and to assess and provide resources as needed to implement institutional mission, goals and objectives.

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# **PART I • ORGANIZATION AND ADMINISTRATION**

## **1.1 Legal Name and Organization**

Troy University is the legal name of the institution. Detailed organizational charts and job descriptions for all administrative officers, both academic and non-academic, are available in the campus offices of Human Resources and the Office of Institutional Research and Planning.

## **1.2 General Administration**

### **1.2.1 Board of Trustees**

The Board of Trustees is the legal governing body of Troy University. As such, it is the final institutional authority. Its powers are set forth in Title 16, Chapter 56, Sections 6 & 7 of the Code of Alabama (1975). (The University is authorized by Statutes of the Legislature of Alabama contained in Title 16, Chapter 56, Section 1, Code of Alabama, 1975.) The Board of Trustees consists of representation from eight geographic areas of the state as denoted in Act #97-586 of the Alabama State Legislature. One board member shall be appointed from each of the areas except for Area Two where two members are appointed. Additionally, one trustee at-large who may or may not be a resident of the state may be appointed. The State Superintendent of Education and the Governor of Alabama serve as ex-officio members. The Governor serves as President of the Board. The President of the Student Government Association serves as a non-voting member. Alabama law explicitly prohibits a University employee from serving as a member of the Board of Trustees. Board members are appointed by the Governor, by and with the advice and consent of the Alabama Senate. Each member is appointed for a term of twelve years, but appointments are staggered so that one-third of the members may be chosen quadrennially. Membership is published in the University Catalog. The primary responsibility of the Board of Trustees is the articulation of general educational policies and academic goals. In so doing, it is obligated to conserve the financial resources of the University and to relate them to the likely needs of the future. While maintaining a general overview, the Board of Trustees entrusts the conduct of administration to the Chancellor and through the Chancellor to other administrative officers of the University. To the faculty, the Board of Trustees entrusts the conduct of teaching and research (Chapter 56, Section 16 of the Code of Alabama as amended by Act #97-586 of the State Legislature).

### **1.2.2 Chancellor**

It is the responsibility of the Board of Trustees to select the chief executive officer—the Chancellor—and to set forth those duties and responsibilities. As the chief executive officer of the institution, the Chancellor supervises and directs the affairs of Troy University. It is the duty of the Chancellor to assure that the standards and procedures in operational use conform to the policies established by the Board of Trustees and to the standards of sound academic practice. The Chancellor shares responsibility for the definition and attainment of goals and for operating the communications system which links the various components of the Board of Trustees, other officers of administration, faculty, staff and students. The Chancellor is the chief spokesperson and representative of Troy University and works for public support and understanding. The Chancellor is largely responsible for the maintenance of existing institutional resources and the creation of new resources. In all these areas, the responsibilities of the Chancellor are to plan, organize, direct and represent. The Chancellor coordinates the administration of all operations.

### **1.2.3 Executive Assistant to the Chancellor**

The Executive Assistant to the Chancellor reports directly to the Chancellor. The position is responsible for exercising delegated authority from the Chancellor in carrying out special projects, serving as liaison for a variety of areas and conducting other activities at the direction of the Chancellor. He/she serves as chief liaison officer for the Chancellor, coordinates activities for the Board of Trustees, participates as a member of the Chancellor's Cabinet.

The Executive Assistant is a key reviewer of reports and correspondence submitted for the Chancellor's signature. He/she conducts research to prepare correspondence, proposals, reports and related documents, coordinates communications and high priority initiatives among staff reporting directly to the Chancellor, researches and analyzes issues and coordinates agenda development, logistical arrangements, and briefing materials to support the work of the Board of Trustees. The Executive Assistant to the Chancellor also serves as a senior policy and procedure adviser, drafts, reviews, and interprets proposed and/or existing University policies and procedures and guidance memoranda, tracks vital public policy issues, and recommends issues for policy development to the Chancellor.

#### **1.2.4 Senior Vice Chancellors**

The Senior Vice Chancellors function in a coordinating capacity on behalf of the Chancellor in overseeing administrative and academic cooperation and communications among the campuses of the University. These positions manage the day-to-day operations of the system. Additionally, the Senior Vice Chancellors assist the Chancellor in the performance of duties, representing the Chancellor in his/her absence, and performing special duties as assigned by the Chancellor.

##### **1.2.4.1 Executive Vice Chancellor and Provost**

The Executive Vice Chancellor and Provost is responsible for administering the academic programs and, as such, is responsible for supervising all aspects of the academic programs, including instruction, faculty, and the academic integrity of the University. Other duties include the preparation of academic budgets, preparation of reports and studies required by accrediting agencies, supervision and direction of faculty recruiting, faculty development, faculty evaluation, preparation of class schedules, maintenance of faculty personnel files and credentials, and the coordination and direction of studies related to faculty needs, curriculum, instruction, and professional concerns. Specific officers reporting to this position are:

- Vice Chancellor – Dothan Campus
- Vice Chancellor – Montgomery Campus
- Vice Chancellor – Phenix City Campus
- Vice Chancellor – University College
  - o Associate Vice Chancellor for International Affairs
- Associate Provosts
- Associate Provost and Dean of the Graduate School
- Associate Provost and Dean of Undergraduate Studies
- Dean, College of Arts and Sciences
- Dean, College of Communication and Fine Arts
- Dean, College of Education
- Dean, College of Health and Human Services
- Dean, Sorrell College of Business
- Dean, First Year Studies
- Dean, University Libraries
- University Registrar
- Assistant to the Executive Vice Chancellor and Provost

#### **1.2.4.2 Senior Vice Chancellor for Student Services and Administration**

The Senior Vice Chancellor for Student Services and Administration is responsible for a variety of administrative functions across all campuses of the University. Specific functions under the purview of this office include: institutional research, planning and effectiveness; information technology; enrollment management; financial aid; safety, security and well-being; student organizations and services; residence halls; government relations; and legal services. Specific officers reporting to this position are:

- Associate Vice Chancellor for Institutional Research, Planning and Effectiveness
- Associate Vice Chancellor for Financial Aid
- Dean of Student Services
- Dean of Enrollment Services
- Chief Technology Officer for Information Technology
- Director of State Government Relations
- Director of Local Government Relations
- Legal Counsel

#### **1.2.4.3 Senior Vice Chancellor for Advancement and External Relations**

The Senior Vice Chancellor for Advancement and External Relations is responsible for identifying and securing resources to support University programs, creating and preserving the University's brand identity, developing and maintaining alumni relations, and promoting the University through University Relations activities. Specific responsibilities include leading the Division of Advancement's University-wide efforts in support of the integrated strategic plan, heading the management team for advancement, and directing efforts in fund-raising, marketing and public relations. The Senior Vice Chancellor for Advancement and External Relations is also responsible for ensuring excellent internal and external communications, for external funding through grants and contracts, for television and broadcast functions within the University, and for working in coordinated effort with campus vice chancellors. In addition, the Senior Vice Chancellor for Advancement and External Relations oversees special projects as assigned by the Chancellor. Specific officers reporting to this position are:

- Associate Vice Chancellor for Development
- Associate Vice Chancellor for Marketing and Communications
- Director of Radio and Television
- Director of Sponsored Programs

#### **1.2.4.4 Senior Vice Chancellor for Finance and Business**

The Senior Vice Chancellor for Finance and Business functions as the chief financial officer of the University. Subject to the approval of the Chancellor, the Senior Vice Chancellor for Finance and Business is in charge of the financial administration of the University and shall have custody and control of all its funds and securities. He/she is in charge of all the assets of the University, including physical property.

The Senior Vice Chancellor for Finance and Business is responsible for the development and implementation of all accounting records and procedures, the preparation and interpretation of all financial reports, and the internal control function. He/she is responsible for the preparation of the University budget and oversight control of the budget. He/she maintains financial records of all contract/grants and leases, compiles financial analyses,

and coordinates the preparation of business and financial statistical reports. Specific officers reporting to this position are:

- Athletics Business Manager
- Controller
- Director, Auxiliary Services
- Director, Budget Management
- Director, Dining Services
- Director of Foundation Accounting
- Director of Physical Plant
- Director of Purchasing/Asset Management
- Director of Tax Services
- Director of Treasury Services
- Senior Director of Human Resources
- Senior Director of Student Financial Services

### **1.3 Other Administrative Areas**

#### **1.3.1 Academic Deans**

Academic deans are responsible for a college, school, program or service. These administrators are responsible for developing, implementing, and assessing objectives, strategies, and policies for each area of responsibility. Duties include participating in planning for the University, and the developing, maintaining, and revising of the college curriculum; preparing and managing departmental budgets; recruiting, retaining, and professionally developing faculty and staff; managing departmental employees and recommending personnel actions including tenure, promotion, and continuance; and developing, monitoring, and chairing advisory boards. Colleges within the University represented by an academic dean include arts and sciences, business, education, communication and fine arts, and health and human services.

The Graduate School, Undergraduate Studies, First Year Studies, and Library Services within the University are also led by academic deans who report to the Office of the Executive Vice Chancellor and Provost. The Dean of Enrollment Management reports directly to the Senior Vice Chancellor for Student Services and Administration and supports the efforts of academic deans to build strong academic programs.

#### **1.3.2 Associate Deans**

Associate deans are responsible for managing the development of curriculum (on the respective specific campuses); assisting the deans in faculty hiring; recommending personnel actions including tenure, promotion, and continuance evaluations; supervising chairs and/or directors of the college; and managing departmental employees on the respective campuses. The associate dean is the dean's key academic and administrative officer for the college on a respective campus with the responsibility for coordinating academic programs, research and service activities, as well as the development, implementation, and assessment of the curriculum, and for assuring that the administrative and academic objectives are met according to the dean's specifications. The associate dean is responsible for preparing and managing campus-specific departmental budgets.

### **1.3.3 Department Chairs and Directors**

Department chairs and directors are responsible for managing the administrative affairs of the department through scheduling classes, assigning teaching duties, and supervising departmental faculty and staff; providing leadership through coordinating departmental planning and curriculum evaluation and reform; mentoring and evaluating faculty and recommending personnel actions including tenure, promotion, and continuance; developing departmental resources through student and faculty recruitment and retention as well as providing an appropriate atmosphere for grant and contract activity; preparing and managing the departmental budget, and representing the department on the campus and in the community.

### **1.3.4 Graduate School**

The Graduate School is the academic unit responsible for administering and directing graduate study in accordance with the stated mission and goals of the University. The Graduate School monitors all policies and procedures relative to graduate admission, retention, and completion; graduate faculty; and graduate curricula and degrees. The Dean of the Graduate School administers the program of graduate studies. The Dean of the Graduate School is guided by the Graduate Council in the administration of the graduate degree programs, and reports directly to the Executive Vice Chancellor and Provost. The Graduate Dean works with department chairs, associate deans, deans, associate provosts, vice chancellors, and off-campus directors to coordinate and administer the various graduate degree programs offered by the University.

## **1.4 Administrative Coordination**

### **1.4.1 Chancellor's Cabinet**

The Chancellor's Cabinet advises the Chancellor on all matters pertaining to Troy University. Cabinet members include the Chancellor, Executive Vice Chancellor and Provost, Senior Vice Chancellors, Vice Chancellors, the Athletic Director, and the Executive Assistant to the Chancellor.

### **1.4.2 Council of Deans**

This Council meets regularly with the Executive Vice Chancellor and Provost to advise the Executive Vice Chancellor and Provost on matters of academic administration, planning, and evaluation. The Executive Vice Chancellor and Provost communicates policy and other decisions to the department chairs and faculty through the Council of Deans. Membership includes the deans of the five colleges and the deans of the Graduate School, First Year Studies, Undergraduate Studies, and Library Services.

### **1.4.3 Academic Steering Committee**

The Academic Steering Committee meets regularly with the Executive Vice Chancellor and Provost to advise the Executive Vice Chancellor and Provost on matters that relate to the four Alabama Campuses of Troy University and University College. Membership includes the Vice Chancellors of the Dothan, Montgomery, and Phenix City Campuses, and the Vice Chancellor of University College, the deans of the five colleges and the deans of First Year Studies, the Graduate School, Undergraduate Studies, Library, and the University Registrar.

### **1.4.4 Faculty Council**

The Faculty Council is a formal body for the collective input of the faculty on appropriate matters of the University. The Faculty Council has a special charge to assist the University in fulfilling its mission and achieving its goals, to serve the educational needs of students, to enhance faculty morale and professionalism, to maintain effective communication with University administration, and to assume responsibility for the shared governance of the University in accordance with established guidelines of recognized accrediting agencies and learned societies of American higher education.

## **1.5 Academic Coordination**

### **1.5.1 Graduate Academic Council**

This Council advises the Executive Vice Chancellor and Provost concerning all phases of the graduate program development and delivery, specifically long-range planning, curriculum development, revision, and policy decisions. The Council has the responsibility for review of all graduate policy waivers and approval of all proposed revisions and modifications for all graduate degree programs, subject to review and approval by the Provost, Chancellor and the Board of Trustees. The Graduate Council agenda is prepared by the Office of the Associate Provost and Graduate Dean for the Executive Vice Chancellor and Provost. Agenda items will be submitted by deans of academic colleges.

### **1.5.2 Undergraduate Academic Council**

This Council advises the Provost concerning all phases of the undergraduate academic program, specifically long-range planning, curriculum review, development and revision, and policy decisions. The Undergraduate Academic Council is responsible for the approval of all proposed revisions and modifications for all undergraduate degree programs. The Executive Vice Chancellor and Provost may refer proposals received from the Academic Council to academic planning or other bodies for review and analysis, prior to approving them for submission to the Chancellor and the Board of Trustees. The Undergraduate Academic Council agenda is prepared by the Office of the Associate Provost and Dean of Undergraduate Studies for the Executive Vice Chancellor and Provost. Agenda items will be submitted to the Council by deans of the academic colleges.

## **1.6 Policies Governing the Workplace**

The policies cited in the following passages represent both University commitments and provisions of state and federal statutes. Any changes which occur in federal law in the specific areas covered by these policies assume precedence over the policies cited herein. Faculty should familiarize themselves with these policies, their importance, and their ramifications as they relate to the University as a place of work. Please refer to the Staff Handbook for additional policies governing the workplace.

### **1.6.1 Equal Employment Opportunity**

Troy University recognizes its legal and moral obligation to provide an employment environment in which opportunities are available to all qualified individuals without discrimination on the basis of race, color, sex, age, political or religious opinions or affiliations, national origin, disability, or disabled veteran/Vietnam-era veteran status. The University affirms its commitment to this principle. The University also commits itself to maintaining on a nondiscriminatory basis the conditions for continuing employment and for individual advancement. Troy University is committed to the following principles and procedures:

1. Recruiting, employing, training, retaining, and promoting individuals in all employment classifications, without regard to race, color, political or religious opinions or affiliations, sex, age, national origin, disability, or disabled veteran/Vietnam-era veteran status, except in those cases in which sex, age, national origin, or disability are bona fide occupational qualifications.
2. Rendering employment decisions to advance the principle of equal employment opportunity.
3. Insuring that promotion decisions are based upon the principles of equal employment opportunity by imposing only valid requirements for promotional opportunities.
4. Insuring that all personnel actions, such as compensation, benefits, transfers, and leave policies, are administered without regard to race, color, political or religious opinions or affiliations, sex, age, national origin, disability, or disabled veteran/Vietnam-Era veteran status.
5. Providing a work environment in which harassment of employees by other employees or non-employees is not tolerated; viz., any form of harassment related to an employee's race, color,



sex, political or religious opinions or affiliations, national origin, age, physical or mental disability, or veteran status.

Troy University is a government contractor subject to Section 503 of the Rehabilitation Act of 1973 and Section 402 of the Vietnam Era Veterans Readjustment Act of 1974 which require government contractors to take affirmative action to employ and to advance in employment qualified individuals with disabilities, qualified disabled veterans, and qualified veterans of the Vietnam era. The Executive Vice Chancellor and Provost is the equal employment opportunity officer for academic personnel; the Director of Human Resources is the equal employment opportunity officer for non-academic personnel and is also responsible for supervising the University's equal employment opportunity program and for monitoring its effectiveness.

## **1.6.2 Policy on Harassment**

### **I. Statement of Philosophy**

Troy University is proud of its tradition of friendly and congenial relations between students and employees (faculty, staff and administrators). The University is committed to maintaining an environment that nourishes respect for the dignity of each individual and creates an atmosphere in which students and employees can interact productively. In keeping with these goals, harassment or discrimination by anyone (whether in the classroom, the office, at a University sponsored function, or within any University environment) will not be tolerated.

### **II. Definition of Harassment**

For purposes of Troy University's policy, harassment is defined as a course of comments or conduct consisting of words or actions that are unwelcome or offensive to a person in relation to sex, race, age, religion, national origin, sexual orientation, color, pregnancy, disability, or veteran status. It can include comments or conduct by a person in a position of authority that is intimidating, threatening or abusive and may be accompanied by direct or implied threats to the individual's grade(s), status, or job. Harassment can also occur between people of similar authority. Harassment occurs when it is known or ought reasonably to be known that such comments or conduct would be unwelcome.

Examples of harassment include gestures, remarks, jokes, taunting, innuendo, display of offensive materials, threats, imposition of academic penalties, hazing, stalking, and shunning or exclusion related to the prohibited grounds.

### **III. Sexual Harassment**

For purposes of Troy University's policy, sexual harassment is defined as any type of sexually oriented misconduct that is unwelcome or inappropriate. Sexual harassment consists of unwelcome sexual advances, requests for sexual favors, and other verbal, graphic, or physical conduct of sexual nature when:

1. Submission to such conduct is explicitly or implicitly a term or condition of a student's or employee's academic success or employment.
2. Submission to or rejection of such conduct is used as the implicit or explicit basis for employment or academic decisions affecting the student's or employee's educational and/ or work experience.
3. Such conduct has the purpose or effect of unreasonably interfering with a student's academic performance or an employee's employment, or creates an intimidating, hostile, or offensive work or educational environment.

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

1. Demanding sexual favors in exchange for favorable evaluations, assignments, promotions, continued employment, grades, letters of recommendation, or similar promises.
2. Subtle pressure for sexual activity.

3. Continued or repeated sexual jokes, kidding, teasing, epithets, flirtation, advances, or propositions.
4. Derogatory or demeaning comments about gender, whether sexual or not.
5. Harassment consistently targeted at only one sex, even if the content of the verbal abuse is not sexual.
6. Verbal abuse of a sexual nature.
7. Graphic verbal commentary about an individual's body, clothing, sexual process, or sexual deficiencies.
8. Sexually degrading or vulgar words to describe an individual.
9. Leering, whistling, touching, pinching, brushing the body, assault, coerced sexual acts, or suggestive, insulting, or obscene comments or gestures.
10. The display in the workplace or an academic environment of sexually suggestive objects, pictures, posters or cartoons.
11. Introduction or utilization of inappropriate sexual material in an academic setting.
12. Name calling, relating stories, gossip, comments, or jokes that may be derogatory toward a particular sex.
13. The display of sexually suggestive graffiti.
14. Asking questions about sexual conduct or sexual orientation or performances.
15. Offensive, repeated requests for dates, even if made after work.
16. Continued advances of a sexual nature which are rejected, even after the parties break off a consensual relationship.

#### **IV. Definition of Discrimination**

For the purposes of Troy University's policy, discrimination is defined as any action resulting in illegal differentiation or adverse treatment of an individual based on his/her age, sex, race, religion, national origin, marital status or veteran status.

#### **V. Individuals Covered Under the Policy**

Troy University's comprehensive harassment policy covers all employees, students, applicants, and others conducting official business with the University.

#### **VI. Procedures**

##### A. Reporting a Complaint

Troy University encourages any person who believes he/she is a victim of harassment to try to resolve the problem informally with the person directly responsible for the harassment. This is not, however, a prerequisite for reporting or filing a complaint. The University also encourages those witnessing harassment to report such behavior.

The University recognizes that an individual may be reluctant and/or embarrassed to complain about harassment. As a consequence of this reluctance, the University provides the following reporting avenues:

1. A student may report a complaint to any member of the University's Harassment Response Team or the Student Services Office. Names and telephone numbers of the Harassment Response Team are available in the Office of Human Resources.
2. A faculty or staff member may report a complaint to the appropriate supervisor, associate dean, dean, director, or vice chancellor who, in turn, will inform the complainant of the need to report the complaint to the Harassment Response Team. An individual who is

uncertain about the appropriate person to whom the complaint should be addressed may direct the complaint to the campus Director of Human Resources. Names and telephone numbers of the Harassment Response Team are available in the Office of Human Resources.

3. University visitors may report a complaint to the campus Office of Human Resources or call the Troy Campus Office of Human Resources at (334) 670-3710.
4. At University College locations, the procedure for reporting will follow the same guidelines as 1 and 2 above with coordination through the Site Director (unless the Site Director is the accused or the accuser).
5. At the Phenix City Campus, the procedure for reporting will follow the same guidelines as 1 and 2 above.

The Harassment Response Team members shall consist of seven members, which will include both males and females of various ages, classified personnel, professional staff, tenured and tenure-track faculty. When investigating a claim, the Harassment Response Team Chair shall appoint at least two members of the team to conduct an investigation.

#### B. Confidentiality

The University recognizes the privacy rights of both the complainant and the accused in a harassment situation. Any allegation of harassment that is brought before a member of the Harassment Response Team will be handled discretely. Reasonable effort will be made to respect the privacy of the parties involved; however, it will be necessary to investigate the complaint and to respond to any legal and/or administrative proceedings which may arise out of or relate to the complaint. Participants in an investigation are authorized to discuss the case only with those persons who have a genuine need to know.

#### C. Filing a Complaint with the Harassment Response Team

The University encourages any person who files a complaint to do so promptly. The University also understands the complainant's reluctance to file a complaint and assures the complainant that late reporting will not in and of itself preclude remedial action by the University. All cases must be reported to the Harassment Response Team within 90 days of the alleged harassment; however, for this purpose, the date the University acquires knowledge of an instance through any source whatever will commence this ninety-day period. All complaints made to a member of the Harassment Response Team will be immediately put into writing, regardless whether the complainant wishes to pursue the matter further. The written report of the complainant will be read, approved, and signed by the complainant. At this point, the complainant and/or the Harassment Response Team member will determine whether the complaint will be pursued further. Depending on this decision, one of two procedures will be followed:

1. If the complainant does not wish to continue with the complaint, the Harassment Response Team member will notify the accused that a complaint was filed. The accused will be provided a copy of the complaint. The accused will have the opportunity to respond to the allegations in writing. Both reports, the complainant's and the accused, will be retained by the Office of Human Resources. At this point, an informal resolution will be sought.
2. If the complainant wishes to continue the complaint and seek sanctions against the accused, the investigative process begins. (See Section E)

An individual who believes he or she is a victim of harassment is encouraged to keep a record of the objectionable conduct. However, the complainant should be aware that a record kept at the direction of the University may be considered privileged, to any extent possible.

The University will retain confidential documentation of all allegations and investigations for a period of two years.

D. Protection Against Retaliation

Neither the University nor its employees or representatives will in any way retaliate against an employee or student who makes a report of harassment. Retaliation is a very serious violation of this policy and should be reported immediately. Retaliation against any individual for reporting harassment will be treated with the same strict discipline as the harassment complaint itself. All individuals involved in investigating the harassment, including the Harassment Response Team members and witnesses, are also protected from retaliation.

E. Investigating a Complaint

If a complainant wishes to pursue the complaint (Section C.2), the investigation will begin and be conducted in a timely manner. The investigation will be handled by the Harassment Response Team member to whom the complaint was reported, with the assistance of at least one other Harassment Response Team member.

The University will notify the complainant and the accused, through the Harassment Response Team member, of the procedures that will be followed to allow for due process. Each party to the complaint will be notified that he/she may seek legal counsel at any time during the process.

In general, the process will consist of the following procedures:

1. Interview complainant charging harassment.
2. Have complainant read, approve, and sign written report.
3. Notify accused of complaint. Interview and obtain written report from accused.
4. Interview witnesses to harassment.

Resolving the Complaint

The University is committed to investigating and resolving any complaint of harassment brought to the attention of the University. The results of the investigation, having been completed by members of the Harassment Response Team, will be forwarded to the appropriate body responsible for making the disciplinary decisions. (The Harassment Response Team only investigates and compiles information – the Team does not make recommendations for disciplinary action.)

<i>Accused</i>	<i>Appropriate Body</i>
Student	Student Services Committee
Faculty	Executive Vice Chancellor Dean of college or school One faculty member Human Resources Director
Staff or Administrator	Senior Vice Chancellor of the employee’s division Two staff employee members from the Personnel Advisory Committee Human Resources Director
Others associated with the University	Vary depending on circumstances

Disciplinary procedures will vary as a result of the parties involved, i.e., the complainant and the accused. The parties involved may be a combination of students, faculty, staff, administrators, and individuals under contract by the University, or persons external to the University.

Any individual involved in a complaint, as either complainant, accused, or witness, will be replaced by an appropriate person chosen by the senior vice chancellor. In all cases, the individual accused will be allowed due process.

It is the responsibility of each body to determine whether the complaint has merit. Each body may decide that the complaint is without merit and recommend no disciplinary action. Alternatively, it may determine that the complaint is valid and will determine the appropriate disciplinary action. (See Sanctions)

The procedures outlined in this policy do not deny the right of any individual to pursue other avenues of recourse which may include filing charges with the Equal Employment Opportunity Commission (EEOC), initiating civil action, or redress under state, civil, or criminal statutes and/or federal law.

## **VII. Sanctions**

### **A. Employees**

Potential sanctions for harassment include the following:

- Disciplinary warning/reprimand
- Referral to appropriate counseling
- Reassignment
- Temporary suspension
- Termination

### **B. Students**

Potential sanctions for harassment include the following:

- Disciplinary warning/ reprimand
- Disciplinary probation
- Suspension
- Expulsion

## **VIII. Appeals**

A party who is not satisfied with the disposition of the findings of the Harassment Response Team may appeal to the Chair, Personnel Advisory Committee for a second review, and, if necessary, a formal hearing, in accordance with the hearing procedures outlined in the Faculty Handbook, Staff Handbook, or Oracle as appropriate.

## **IX. Education and Training**

The University commits to this policy by:

1. developing and reviewing the comprehensive policy on a timely basis,
2. annually communicating the policy to students and employees,
3. annually training and educating students and employees,
4. confidentiality, insofar as possible, in investigating incidents,

5. documenting findings and maintaining records, and
6. taking appropriate action when incidents occur.

### **1.6.3 Drug-Free Workplace Policy**

Troy University complies with the Drug-Free Workplace Act of 1988 (Public Law 100-690) and the Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101-226). For the purposes of this policy, the term workplace means any office, building, classroom, laboratory, or property (including parking lots) owned or operated by the University, or any other site at which an employee is to perform work for the employer. An employee of the University is any faculty, staff, or student receiving remuneration for services rendered. Student means any person registered at the University for any type of academic credit, regardless of the length of the student's program of study. Possession means to be contained either on a student's or employee's person, or in a student's or employee's person, or in a student's or employee's motor vehicle, tools, briefcases, book bags, or areas entrusted to the control of the student or employee. Impaired means under the influence of an illicit drug or alcohol such that the student or employee is unable to perform his/her assigned tasks properly. The unlawful possession, use, consumption, manufacture, distribution, or dispensation of alcohol or other controlled substances in the workplace of any employee or student, or as any part of any functions or activities of Troy University is prohibited. Any student or employee of Troy University, against whom a determination has been made for violating the University's policy regarding alcohol or drugs, shall be subject to sanctions imposed by the University. Such sanctions shall be determined on a case-by-case basis and shall be commensurate with the severity of the violation. Such sanctions may, however, include termination in the case of an employee and expulsion in the case of a student. Additionally, violators will be referred to the appropriate law enforcement officials for prosecution. Troy University will maintain a drug-free awareness program to inform students and employees of the dangers of alcohol and drug abuse and will also maintain a current roster of local and area drug and alcohol treatment and rehabilitation programs. Each employee and student at Troy University will annually receive a written copy of this policy. Troy University will make a good faith effort to ensure that the criteria in this policy are met and to review the policy on an annual basis.

### **1.6.4 Smoking Policy**

It is the policy of Troy University to prohibit the use of tobacco in all nonresidential buildings. The use of tobacco will not be allowed in public areas of Troy University facilities including (but not restricted to): lobbies, corridors, stairwells, elevators, waiting rooms, public reception areas, classrooms, offices, laboratories, clinics, conference rooms, meeting rooms, employee lounges and break rooms, restrooms, cafeterias and restaurant facilities (unless a specified smoking area is provided), and multiple-occupancy work areas. Residential units owned by the University and occupied by individuals or families are subject to the smoking preferences of the occupants. Failure to comply with this policy will constitute a violation of University policy and may be dealt with accordingly through established formal disciplinary procedures.

### **1.6.5 Weapons Policy**

Troy University prohibits on all University properties possession, use, and transportation of any dangerous or potentially dangerous weapons described below:

1. Fixed blade knives concealed on the person or in a vehicle (e.g., Bowie Knife, knife, or instrument of like kind or description).
2. Shotgun or rifle or other shoulder gun.
3. Pistol or revolver.
4. Air gun (e.g., air or gas powered rifle or pistol).
5. Bow and arrow (e.g., archery equipment).

6. Slingshots (including throwing weapons).
7. Swords.
8. Crossbows.
9. Brass Knuckles.
10. Fireworks or explosive devices.
11. Electronic stunning devices.
12. Chemical sprays that include coughing or eye irritation.

This policy shall apply to all faculty, staff, and students of Troy University; and to all visitors to any University properties.

This policy does not apply to duly authorized law enforcement officials in the lawful discharge of their duties.

Temporary exclusions may be granted by permit only by the Dean of Students or his/her designated representative for job-related, educational, or demonstration purposes.

Department chairs and respective faculty members may be granted a blanket authorization by the Dean of Students or his/her authorized representative for organized activities. These organizations must guarantee qualified instruction, safety, and security for such activities.

All applicable federal, state, as well as local laws and ordinances will be strictly enforced.

## **1.6.6 Infectious Disease Policy**

### **1.6.6.1 Introduction**

This policy establishes general principles regarding persons with infectious diseases within the University. Persons with an infectious disease may be considered by law to have disabling conditions. The legal rights of disabled individuals must be guaranteed.

### **1.6.6.2 Policy**

- A. University policy prohibits discrimination against persons with or perceived to have an infectious disease. Complaints may be addressed to the campus affirmative action officer.
- B. No current or prospective employee of the University shall be required to receive an HIV antibody test or other diagnostic test associated with HIV disease as a condition of employment.
- C. Employees of the University who may contract an infectious disease will not be excluded from enrollment or employment or restricted in their access to University services or facilities by reason of their infections unless individual medical judgments establish that exclusion or restriction is necessary for the welfare of the individual or of other members of the University community. Individual cases may be subject to review by a physician designated by the University.
- D. Information regarding an individual's diagnosis of an infectious disease will be maintained as confidential personal medical information, which will not be released to any party without the specific written consent of the individual, except where required by law. The confidentiality of information is superseded only by the necessity to protect others who may be or could be placed in life-threatening circumstances by actions of the infected person.
- E. Members of the University community with an infectious disease have a responsibility to be aware of information and the most recent recommendations from the Centers for

Disease Control, to prevent transmission of the diseases to others. Persons who know or suspect they are infected with an infectious disease are expected to obtain and follow appropriate medical advice and are further expected to conduct themselves responsibly for the protection of others. Failure to do so may lead to disciplinary action.

- F. Detailed standards and procedures consistent with this policy shall be implemented by individual departments where risks of contact with body fluids are significant. Each departmental procedure shall be subject to review by a designee of the Chancellor. Those who work or study in such departments shall be subject to these procedures.
- G. This policy shall be reviewed as needed by the Infectious Disease Task Force. It shall be published in University documents as appropriate.

### **1.6.7 Blood Borne Pathogen Education and Prevention Policy**

This policy establishes that the University is aware of risk factors associated with certain academic majors and other activities, and has adopted measures to deal responsibly with both employees and students. The policy recognizes that departments face varying degrees of risk for exposure to employees and students, and provides for separate departmental procedures to be developed in areas of high risk. Specific provisions are identified for prevention measures and post-exposure follow-up for employees, at University (departmental) expense. Likewise, specific provisions are given for students to bear the cost of prevention measures and other expenses.

#### A. Policy

Troy University adopts this policy to limit any occupational exposure to blood borne infections by providing training sessions for employees and for students, an Exposure Control Plan, vaccination for Hepatitis B, post-exposure evaluation and follow-up, medical records, and policy implementation. This policy has been prepared in accordance with the Occupational Safety and Health Administration (OSHA) Blood Borne Pathogens regulation, 29 CFR 1910.1030.

#### B. Scope

This policy and related procedures will cover all employees who could be "reasonably anticipated," as a result of their job duties, to be exposed to blood borne infections. All such employees must be familiar with the "Universal Precautions." In addition, this policy and related procedures will apply to any student who could be "reasonably anticipated," as a result of academic requirements, to be exposed to blood borne infections.

#### C. Employee and Student Information and Training

The University will make available the policy and institutional guidelines for blood borne infections to both employees and students. Training and education of employees at risk of exposure shall take place within the first ten workdays of employment. Training and education of students in departments of courses where exposure risks can be anticipated shall take place during new student orientation or within the first week of each semester. Training records shall be maintained for at least three years in each departmental office, according to procedures adopted in each department. Students may be potentially at risk of exposure to blood borne pathogens during some clinical laboratory experiences. For students and employees with no specific risk of exposure, information will be provided through routine publications about potential risk, existing policy, and incident reporting procedures.

#### D. Blood/Body Fluid Spill Incident Reporting Procedures

If an accident or illness occurs where blood or body fluids are spilled, immediately contact the University Police or the security officer for your campus. DO NOT TRY TO CLEAN UP A SPILL WITHOUT PROPER TRAINING AND SAFEGUARDS.

1. Identify spill.
2. Immediately remove contaminated clothing and wash hands with soap and water.



3. Phone University Police or campus security, and give details of the incident, identifying the situation as one with blood or body fluids.
4. The security personnel will contact an ambulance or other emergency service as needed.
5. The security personnel will contact Physical Plant Housekeeping to clean up spill in a proper manner.
6. Security personnel will write an incident report and will notify the Campus Safety Officer if exposure to blood or body fluids has occurred.

#### E. Exposure Control Plan

A model exposure control plan has been developed by the University and shall be individualized at the departmental level. Detailed policies and procedures consistent with this University policy shall be defined and implemented by individual departments where there is significant risk of exposure to blood or body fluids. Each department's policies and procedures shall be approved by the dean of the college. Those who work or study in the departments covered shall be subject to these specific departmental policies and procedures. The exposure control plan shall include key definitions, hazard recognition, and exposure control procedures. Such procedures shall include but not be limited to: engineering controls, required general work practices, personal protection equipment, housekeeping, waste disposal, and laundry, communication of hazards to workers, medical surveillance, record keeping, student education, and exposure control action plan. The University will provide facilities and equipment through affected departments and ensure that employees use them following exposure to blood or body fluids. Universal Precautions shall be used to minimize needle sticks, to minimize splashing and spraying of blood, to ensure appropriate disposal of specimens, to regulate wastes, and to decontaminate equipment.

#### F. Hepatitis B Vaccination

The University, through the supervision of licensed physicians or other licensed health care professionals through the Student Health and Wellness Center, will make Hepatitis B vaccination available to all employees who are at risk for occupational exposure to blood. This vaccination will be at no charge to the employee. Students who have exposure risk to human blood in a clinical lab setting or other students who are concerned with exposure potential may receive vaccinations at the expense of the student through the Student Health and Wellness Center.

#### G. Post-Exposure Evaluation and Follow-Up

Following an exposure incident, follow-up will include a confidential medical evaluation documenting the circumstances of exposure, identifying and testing the source individual if feasible, testing the exposed employee's blood if the employee consents, post-exposure prophylaxis, counseling, and evaluation. The University will, upon request, provide laboratory tests at no cost to all employees who have had a documented on-the-job exposure incident. The laboratory tests for the employee will be scheduled through a designated laboratory.

#### H. Record Keeping for Exposure Incidents

The Office of Human Resources will keep records of each employee's occupational exposure under OSHA guidelines, which currently require that such records be maintained for the duration of employment plus 30 years. Medical records must be made available to the employee, anyone with written consent of the employee, or OSHA.

#### I. Disposal of Contaminated Materials

The Campus Security Officer or the Student Health and Wellness Center must be contacted regarding disposal of all contaminated materials, such as towels and other fabric products, gauze, sterile pads, swabs, etc. The College of Health and Human Services has separate disposal plans for medical wastes and sharps which have been contaminated.

## J. Policy Review and Publication

This policy and related procedures shall be reviewed and updated in keeping with developments in medical practice and federal/state regulations. The policy shall be published in the University Safety and Security Procedures Manual and departmental documents as appropriate.

### **1.6.8 Communicable Disease Alert**

Inasmuch as Troy University is a global institution in scope, the University is occasionally affected by the outbreak of serious communicable diseases which restrict access and necessitate precautions in certain areas, viz., the recent Severe Acute Respiratory Syndrome (SARS). In each such instance, it is the policy of the University to adhere to guidelines issued by such agencies as the Centers for Disease Control and Prevention (CDC) and the World Health Organization (WHO) to ensure the safety of its employees. As these guidelines become available, they will be communicated to all faculty and staff.

### **1.6.9 Policy Statement on Significant Communicable Diseases and University Travel**

The purpose of this statement is to advise the University community on measures to be implemented to safeguard the health and welfare of students, staff, faculty, and the community from the spread of significant communicable diseases.

**DEFINITION:** A significant communicable disease is one which has been identified by a recognized authority (e.g., World Health Organization, Centers for Disease Control, U.S. Department of Health and Human Services) as one which may have life-threatening potential or result in serious illness or infirmity and may be contracted merely by travel within a certain region. Recent examples include severe acute respiratory syndrome (SARS), Asian influenza, yellow fever and dengue fever.

All students, faculty, and staff are strongly discouraged from travel to countries, provinces, or locations under travel advisories. However, all students, faculty, and staff planning to travel to and return from a geographic area under health advisory are strongly encouraged to seek advice from appropriate University offices (the International Programs Office, University College, the Office of Student Health Services, or the campus Student Services Office) to protect themselves, insofar as possible, from exposure through personal hygiene and self-protection.

- Those who travel to regions under health advisories will be advised that re-enrollment or return to work may require passing a screening procedure administered through a public health department, a licensed physician or clinic, or the Office of Student Health Services. The cost of any such screening procedure shall be borne by the student or staff member unless the travel was a requirement of the University. Individuals showing symptoms will require immediate isolation and proper treatment until symptoms are no longer present.
- Departments which require or initiate travel for faculty, staff, or students will be required to monitor health advisories issued by CDC or WHO and to review travel authorization to destinations for which an advisory is issued.
- New students, staff, and faculty arriving from countries under health advisories will be subject to the screening procedure set forth above.
- If, for any reason, faculty or staff must travel to areas under health advisories, they must adhere strictly to all precautions and guidelines set forth by the Centers for Disease Control (CDC).
- For additional information, refer to [www.cdc.gov](http://www.cdc.gov).

### **1.6.10 Patent Policy**

The objectives of the patent policy are to encourage and support research at Troy University, to provide financial compensation as well as professional recognition to inventors, and to best serve the public interest. To these ends, this policy encourages disclosure of inventions and discoveries and their evaluation for possible patenting and licensing and establishes criteria for determining the

rights of the inventor and the University. Scholarly publication of the results of faculty and student research is strongly encouraged.

#### A. Definitions

The patent policy defines "inventions" and "discoveries" in U.S. Patent Office terminology:

- Processes, machines, compositions of matter, and other articles of manufacture, including new methods, etc.
- Design.
- Plants, asexually and sexually reproduced (with some exceptions).

Inventions include:

- The mental act of conception.
- Reduction to practice.

Unpatentable subject matter includes:

- Discovery of natural phenomena.
- Products of nature.
- Mere ideas or concepts.
- Inventions relating to nuclear weapons.

#### B. Equity

The equity of the inventor or inventors in a patent shall be largely determined by the source of funding for the research which led to the invention or discovery:

**University-Funded Research:** The inventor or inventors share in the net proceeds from a patent as indicated in Item C, with all patent costs paid by the University and recouped from the proceeds.

**Personal Research:** The inventor or inventors may, if no significant use of University facilities is involved, obtain and retain full rights to a patent, or they may elect to assign the invention or discovery to the University for handling as University-funded research.

**Government-Funded or Industry-Funded Research:** The inventor or inventors share as specified in the contract or grant.

**Extramural Consulting-Funded Research:** The inventor or inventors share in the rights to a patent in accordance with the specific extramural consulting agreement unless approval for extramural consulting was not obtained and/or substantial use of University facilities was involved.

#### C. Proceeds

The inventor or inventors will receive 50 percent of the first \$100,000 of net royalty; 40 percent of the second \$120,000; and 30 percent of all net royalty income in excess of \$200,000. The formula for determining net royalty income is as follows:

1. All out-of-pocket University expenses for obtaining, defending, and marketing the patent will be recovered.
2. A 15 percent administrative fee will be charged to provide resources to encourage invention disclosures and to process them in a timely fashion and to complement the transfer and commercial development of discoveries and inventions. The inventor or inventors are required to execute promptly all contracts, assignments, waivers, or other legal documents which the University determines to be essential to obtain a patent.

The inventor or inventors may not sign patent agreements with outside persons or organizations which may abrogate the University's rights and interests as stated in this policy or which otherwise

conflict with this policy; neither may the inventor or inventors without prior authorization use the name of Troy University in connection with any invention.

The University is required to consider promptly any disclosure of an invention or discovery and determine within six months of notification exactly what action it plans; otherwise, the inventor or inventors may request and obtain the rights to the invention or discovery for subsequent patenting on their own, unless prohibited by the provisions of an applicable grant or contract.

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

**SPECIAL NOTE:** In the United States, a patent on an invention or discovery must be applied for within one year of the first publication disclosing an invention or discovery; in some foreign nations, a patent application must be submitted to the proper authority prior to such a publication.

An inventor or inventors who wish to pursue a patent should inform in writing the Office of the Executive Vice Chancellor and Provost who, in turn, will work with the office of the University attorney and the Office of Special Programs to initiate the procedure outlined above.

### **1.6.11 Copyright Policy**

Copyrights resulting from aesthetic, scholarly, or other work developed through independent efforts and not part of a directed University assignment shall reside with the originator. Independent effort is defined as the product of inquiry, investigation, or research to advance truth, knowledge, or the arts where the specific choice, content, course, and direction of the effort is determined by an individual without assignment or supervision by the University. All rights in copyright for all other works arising from the use of University resources, whether directed or commissioned or contractually determined, shall belong to the University. The Chancellor and his/her designated representatives are authorized to enter into agreements with respect to ownership, licensure, disposition of royalty income, resolution of disputes, and other rights related to copyrights under their respective jurisdictions. They are authorized to register copyrights, accept copyrights from third parties, and to sell or grant licenses or assignments in the name of the University for any rights to copyrights under their jurisdiction.

#### **OWNERSHIP BY CATEGORY OF WORK:**

- A. *Scholarly/Aesthetic.* In keeping with traditional academic practice, ownership of copyrights to scholarly or aesthetic works which are prepared through independent effort and not part of a directed assignment shall reside with the originator, except as otherwise provided in the policy. The general obligation of a faculty member to produce scholarly work does not constitute a directed assignment.
- B. *Personal.* The copyright to any work which is prepared outside the scope of employment and without the use of University resources by an employee shall be the sole property of the employee.
- C. *Sponsored/Contracted.* The University asserts its right to copyrightable works created under sponsorship or contract. Copyright ownership of sponsored works and contracted works shall be governed by such agreements or contracts. Any sponsored work agreement which provides for ownership by other than the University shall also provide the University with a free-of-cost, non-exclusive, world-wide license to use and reproduce the copyrighted work for research and education purposes, except where prohibited by law or government regulation.
- D. *Commissioned.* When the University commissions the production of a work, title normally resides with the University. In all cases, copyright ownership shall be specified in the written contract. Any commissioned work agreement which provides for ownership by other than the University, shall also provide the University with a free-of-cost, non-exclusive, world-wide license to use and reproduce the copyrighted work for research and education purposes, except where prohibited by law or government regulation.

- E. *Acquired by Assignment or Will.* The University may acquire copyrights by assignment or will pursuant to the terms of the written agreement or testament.

#### REVENUE SHARING FOR NON-CONTRACTED WORK

The University may assign or license its copyrights to others. The University shall share with the originator(s) revenue which it receives through copyrights. Specific provisions of grants or contracts may govern rights and revenue distribution. Consequently, revenues received from such copyrights may be exclusive of payments or royalty shares to donors or contractors. Moreover, the University may contract with external organizations or individuals to obtain, manage, and defend copyrights. Any royalty shares or expenses contractually committed to such organizations or individuals shall be deducted before revenues accrue and prior to the originator's share being distributed. The revenues (net, as defined in the preceding paragraph) received from a copyright will be applied first to reimburse the University for any specific, incremental expenses incurred by generating the copyright, and in marketing, licensing, and defending the rights. After provision for such expenses, such revenues shall be shared as follows:

1. The first \$5,000 will be paid to the originator(s).
2. Thereafter, the originator(s) shall receive 75 percent of such revenues.

Applicable laws, regulations or provisions of grants or contracts may, however, require that a lesser share be paid to the originator(s). Faculty members and other employees who wish to acquire or assign copyrights should inform in writing the office of the Executive Vice Chancellor and Provost who, in turn, will work with the office of the University attorney and the Office of Sponsored Programs to initiate the process.

#### DEFINITIONS

The definitions applicable to this policy are listed below:

1. *Aesthetic Work:* A work that is a result of original artistic expression.
2. *Commissioned Work:* A work produced for the University by others pursuant to a contract at the institution's expense.
3. *Contracted Work:* Work produced by and for others at the others' expense, using University facilities pursuant to a contract.
4. *Copyright:* The intangible property right granted by statute providing the owner the following exclusive rights over a work: to reproduce, to prepare derivative works, to distribute, to perform publicly, and to display publicly.
5. *Direct University Assignment:* Any written or oral instruction or task assigned to an originator.
6. *License:* A contract in which a copyright owner grants permission to exercise one or more of the rights under copyright.
7. *Originator:* Any person who produces a work by his/her own intellectual effort, including student employees.
8. *Royalties:* A payment made to an owner of a copyright for the privilege of practicing a right under the copyright.
9. *Scholarly Work:* Work such as, but not limited to, books, articles, other such publications, lectures, and computer software resulting from independent effort.
10. *Software:* A work comprising statements or instructions to be used directly or indirectly in a computer to bring about a certain result and any associated documentation containing operational instructions. (In cases where software is found to be patentable, the Patent Policy will govern.)
11. *Sponsored Work:* A work produced by or through the University pursuant to a contract, grant, or other agreement.

12. *University Resources*: All buildings, equipment, services, funds (regardless of source), and other facilities under the control of the University.
13. *Work*: Any copyrightable expression including, but not limited to, writings, lectures, musical or dramatic compositions, sound recordings, films, videotapes, computer software, architectural designs, and works of art.

## **PART II • COUNCILS AND STANDING COMMITTEES**

Please visit [http://stars.troy.edu/troy\\_website/guidelines.html](http://stars.troy.edu/troy_website/guidelines.html) for complete council and standing committee information.

## **PART III • PERSONNEL POLICIES**

Certain of the policies set forth below concern matters governed by provisions of law. Such provisions contained herein are intended to be in compliance with applicable federal or state law. In the event, however, any provision conflicts with an applicable federal or state law, that law will govern.

### **3.1 Definition of Faculty**

Full-time professors, associate professors, assistant professors, instructors, and teaching personnel with such other titles as may be approved by the Board of Trustees shall be the instructional faculty. Certified University librarians will be included in the instructional faculty. Persons holding adjunct appointments or other honorary titles shall not be considered to be members of the ranked instructional faculty.

### **3.2 Definition of Academic Ranks and Titles**

#### **3.2.1 Ranked Faculty**

A ranked faculty member is a full-time employee of Troy University who has been appointed to one of the four regular academic ranks: instructor, assistant professor, associate professor, or professor.

Such an individual:

1. Ordinarily has full-time teaching duties or has teaching and other duties (e.g. academic administration, special projects, supervision of interns) equivalent to a full-time teaching load with the proviso that a person who is ordinarily considered an officer of the administration does not automatically achieve ranked status by virtue of teaching part-time.
2. Fulfills the duties and responsibilities of a faculty member as specified in Section 3.9, Faculty Duties and Responsibilities.
3. Meets or exceeds the criteria for academic ranks as detailed below.

Whenever a decision is necessary to determine whether an individual has the equivalent of the degree normally required for a particular rank, such decision will be recommended by the department chair, associate dean and dean and approved by the Executive Vice Chancellor and Provost. Written copies of the decision will be provided the department or division involved, the individual involved, and a copy will be filed in the individual's official personnel file.

##### **3.2.1.1 Instructor**

1. Hold the appropriate master's degree or the terminal degree (usually the earned doctorate) in the discipline from a regionally accredited institution or possess equivalent and certified professional competency in the discipline in which courses will be taught.
2. Teach a full load.
3. Meet all expectations of a ranked faculty member.

##### **3.2.1.2 Assistant Professor**

1. Possession of an appropriate earned doctorate or an appropriate professional degree from a regionally accredited institution, or accomplishments that are considered equivalent (e.g., outstanding performance in the creative arts or in the business community or excellence in teaching at the rank of instructor).
2. Three years of full-time teaching in a regionally accredited college or university with the proviso that any or all of the teaching experience requirements may be waived if an appropriate earned doctorate from a graduate institution of recognized standing, or an



appropriate professional degree or accomplishments that are considered equivalent is obtained prior to appointment or promotion to this rank.

3. Proven potential for satisfactorily fulfilling the duties and responsibilities of a faculty member.
4. Proven scholarship in the subject-matter field and professional competence in instruction.

### **3.2.1.3 Associate Professor**

1. Possession of an appropriate earned doctorate or an appropriate professional degree from a regionally accredited institution, or accomplishments that are considered equivalent (e.g., outstanding performance in the creative arts or in the business community).
2. Evidence of sustained, noteworthy teaching ability.
3. Evidence of noteworthy fulfillment of the duties and responsibilities of a faculty member.
4. Evidence of developed scholarship in the subject-matter field, or continued, noteworthy performance in the creative arts.
5. At the time of employment by Troy University and of initial determination of academic rank at Troy University, a minimum of two consecutive years of full-time ranked teaching as an assistant professor in another regionally accredited college or university in conjunction with three years of full-time teaching at the rank of assistant professor of Troy University, or a minimum of five consecutive years of full-time teaching at the rank of assistant professor for Troy University prior to the filing of an application for promotion in rank and review by the Faculty Promotion and Tenure Review Committees.

### **3.2.1.4 Professor**

1. Possession of an appropriate earned doctorate or an appropriate professional degree from a regionally accredited institution, or accomplishments that are considered equivalent (e.g., widely acclaimed performance in the creative arts or in the business community)
2. Evidence of outstanding teaching.
3. Evidence of distinguished faculty leadership and devoted service to students.
4. Evidence of mature scholarship in the subject-matter field, or of widely acclaimed accomplishments in the creative arts.
5. At the time of employment by Troy University and of initial determination of academic rank at Troy University, a minimum of five consecutive years of full-time ranked teaching as an associate professor in another regionally accredited college or university.
6. A minimum of five consecutive years of full-time teaching at the rank of associate professor for Troy University prior to the filing of an application for promotion in rank and review by the Faculty Promotion and Tenure Review Committees.

### **3.2.1.5 Privileges of Retired Ranked Faculty**

All ranked faculty who have limited or terminated their responsibilities as a faculty member for valid reasons (e.g., retirement, illness) after ten or more consecutive years of service to the University shall be entitled to the rights and privileges set forth below:

1. Continued full use of the library and inter-library loan activities, and such usually included facilities as are normally available to faculty members, and no fees are to be

charged for the use of these facilities, save for actual costs where such exist (as for reproduction of documents).

2. Continued access to tickets for concerts, theatrical productions, athletic events, and other discounted services, e.g., the tuition assistance program, at the same costs normally charged to active faculty members.
3. Continued receipt of mail on campus, if one so desires, providing that such mail is specifically addressed.
4. Option of purchasing a campus parking decal.

### **3.2.2 Unranked Faculty**

An unranked faculty member is usually a part-time or temporary employee of Troy University who has been assigned one of the temporary academic titles: teaching assistant, lecturer, adjunct faculty, visiting professor, or affiliate professor. This position does not lead to or count toward promotion to the regular academic ranks, nor does service in these positions lead to or count toward tenure.

Such an individual:

1. Meets or exceeds the criteria for the appropriate temporary or other academic title.
2. Usually has less than a full-time teaching load.
3. Usually has no other faculty duties and responsibilities, except those outlined below.
4. Is selected in the manner set forth below.

#### **3.2.2.1 Graduate Teaching Assistant**

Graduate teaching assistants are graduate students who have primary responsibility for preparing lectures, lecturing, conducting classes and study sessions, administering exams, grading exams and papers, teaching a course for credit and/or for assigning final grades for such a course. Such assistants must have a master's degree in the teaching discipline or at least eighteen graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations.

The above requirements do not apply to graduate teaching assistants who are engaged in assignments such as laboratory assistance, teaching physical education activity courses or developmental studies, attending or helping prepare lectures, grading papers, keeping class records, and conducting discussion or study groups.

Graduate teaching Assistants for whom English is a second language may be appointed only when a test of spoken English or other reliable evidence of the applicant's proficiency in oral and written discourse indicates that the appointment is appropriate.

Graduate teaching assistants as well as all others who teach in non-credit courses must hold a minimum of a bachelor's degree in a discipline related to the teaching assignment and either classroom experience in a discipline related to the teaching assignment or graduate training in remedial education.

#### **3.2.2.2 Lecturer**

Lecturers are recommended by the department chair in consultation with the associate dean or dean and approved by the Executive Vice Chancellor and Provost. This position does not lead to or count toward promotion to the regular academic ranks (see Section 3.4), nor does service as a lecturer lead to or count toward tenure.

Selection of lecturers should be consistent with the academic standards of Troy University. A person who is assigned this title should meet or exceed the minimal requirements set forth

in Section 3.2.1.1, Instructor. In lieu of these requirements, considerable experience in an appropriate technical, artistic, or professional field may be substituted.

Lecturers hold the responsibility for the management of courses taught.

All benefits for persons assigned this title must be mutually agreed upon in writing by the individual and the University at the time of initial employment.

Lecturers are expected to be available for a reasonable amount of time for each course taught to counsel students regarding course work.

### **3.2.2.3 Senior Lecturer**

Appointment as Senior Lecturer, in addition to the requirements of 3.2.2.2 above, will demonstrate a record of teaching and service that will be of exceptional value to the University. Documentation submitted to the Executive Vice Chancellor and Provost to support such appointment will evidence the contributions made by the candidate in the scholarship of teaching and learning as well as service to an academic department and college. Professional development activities will demonstrate that the candidate has been active in the intellectual activities of his/her academic unit. A record of appropriate service to the department, college, university, or professional community is expected to support the appointment. No more than 25 percent of those holding non-ranked faculty positions in a teaching discipline will be appointed Senior Lecturer.

### **3.2.2.4 Adjunct Faculty**

Adjunct faculty members are employed to provide specific courses on an as-needed basis. This title may also be assigned to those who hold full-time administrative positions and agree to offer occasional courses that they are qualified to teach by virtue of education, training, or experience. Contracts for adjunct faculty members are issued on a semester/term basis. Adjunct faculty members are not eligible for fringe benefits, nor does service in this capacity lead to or count toward tenure or promotion to the regular academic ranks. Adjunct faculty should confer with the associate dean and dean to determine the course load limit of their teaching.

Selection of adjunct faculty members should be consistent with the academic standards of the University. Adjunct faculty members are recommended by the department chair in consultation with the associate dean and dean and approved by the Executive Vice Chancellor and Provost or designee.

The rights and duties of an adjunct faculty member remain the same as those specified in Section 3.2.2.2, Lecturer.

Deans, associate deans and department chairs are responsible for the appropriate orientation, supervision, and evaluation of all adjunct faculty members. Likewise, deans, associate deans and department chairs are responsible for establishing a reasonable amount of time for each course taught by adjunct faculty for the counseling of students regarding course work and other course requirements. Moreover, these established times must be made known to the students at the beginning of each term.

## **3.2.3 Other Faculty Titles**

### **3.2.3.1 Visiting Professor**

This title is assigned to individuals who are highly distinguished in their subject-matter fields; normally they must be nationally or internationally esteemed for scholarship or for contributions to society and to students' academic achievement. Such individuals are appointed to teach, lecture, or pursue other duties at Troy University only for a limited period

of time; such time must be agreed upon in writing between the Chancellor or a duly designated representative and the visiting professor.

Troy University recognizes the academic standing of visiting professors and accords them the usual privileges of ranked faculty.

Visiting professors are appointed by the Chancellor, upon the recommendation of the Executive Vice Chancellor and Provost, in consultation with the appropriate department chair, associate dean and academic dean.

Any supplementary benefits must be mutually agreed upon prior to appointment.

### **3.2.3.2 Affiliate Professor**

This is an honorary title assigned by the Chancellor to individuals who are offering educational experiences affiliated with the University. Such appointments do not qualify for compensation or benefits.

### **3.2.3.3 Eminent Scholars/Chair holders**

These titles may be assigned to faculty members who are truly distinguished in their respective academic disciplines. These positions are normally endowed by private contributions or extramural funds. Eminent scholars and chair holders may be assigned teaching responsibilities at the undergraduate or graduate level, or a combination of both. Conditions of employment, including teaching load, research expectations, and public service are set forth in the initial employment letter or contract. Such individuals may be invited to serve on ad hoc and standing committees; they also enjoy all rights and privileges (e.g., tenure and promotion) normally reserved for the ranked faculty and are similarly evaluated.

### **3.2.3.4 Distinguished Professor or other such title(s) as the Chancellor may choose to bestow**

All responsibilities, duties and benefits for persons assigned this title must be mutually agreed upon in writing by the individual and the University at the time of initial employment.

## **3.2.4 Professor Emeritus**

Emeritus status is a distinct academic honor awarded only to those faculty members who have clearly distinguished themselves in teaching, scholarship, University service and/or community service and who have been in the service of the University at faculty-ranked status for ten consecutive years prior to retiring. Candidates must be submitted by the dean to the College and University Review Committees for review and recommendation to the Executive Vice Chancellor and Provost. In addition to the rights and privileges cited above (see Section 3.2.1.5) for retired faculty, an emeritus faculty member may qualify for the following:

1. While engaged in academic work in accordance with University purposes and objectives, the use of office space and equipment insofar as such space is available.
2. A designated parking space may be assigned upon the recommendation of the Executive Vice Chancellor and Provost, if requested and available.
3. Continued use of University stationery provided that such use is in keeping with University purposes and objectives, and that one's letters clearly identify one as a Professor Emeritus. If such mail appears likely to be extensive, the University may (but is not obligated to) provide letterhead stationery. Mailing costs are to be borne by the professor emeritus.
4. Continued publication of emeritus faculty in the Catalog for life. No compensation accrues by virtue of the rank, unless the emeritus faculty member accepts a part-time or temporary full-time contract to teach or to fulfill other duties. In such instances, supplementary benefits, if any, will be set forth in the contract. In the event an emeritus faculty member abuses the

rights and privileges granted herein, these rights and privileges may be withdrawn in whole or in part.

**PROCEDURE:** The department chair and associate dean, with the concurrence of the dean of the college or school and upon notification of the faculty member, recommend to the Faculty Promotion and Tenure Committee and/or Executive Vice Chancellor and Provost that emeritus status be conferred. A recommendation from the Faculty Promotion and Tenure Committee and/or Executive Vice Chancellor and Provost is then forwarded to the Chancellor, who acts upon the recommendation and advises the faculty member, department chair, associate dean, dean, and Executive Vice Chancellor and Provost.

### **3.2.5 Graduate Faculty Membership Guidelines**

Graduate faculty membership is required of individuals conducting courses offered for graduate credit and for those who assist graduate students as advisers or are members of graduate committees. (See Appendix B.) Faculty members who have not been granted graduate faculty membership may not have primary responsibility for teaching courses numbered at the 5000, 6000, or 7000 levels. There are two levels of membership on the graduate faculty: full and associate. The level of appointment will be noted in the Graduate Catalog.

**FULL MEMBERSHIP** may be awarded to full-time faculty members who meet the following criteria:

1. Possession of an appropriate earned doctorate or an appropriate professional degree in the teaching discipline from a graduate institution of recognized standing, or accomplishments that are considered equivalent (e.g., outstanding performance in the creative arts or in the business community).
2. Demonstrated excellence in teaching at the graduate level and/or senior undergraduate level. Evaluations of teaching, peer/colleague evaluations, student evaluations and/or letters of support regarding the faculty member's teaching abilities (from chairs, associate deans, deans, and colleagues) are required.
3. Evidence of professional involvement and/or service through active participation in state, regional, national, or international professional meetings, membership on professional committees, or by holding office in professional organizations.
4. Evidence of developed scholarship in the subject-matter field, or continued, noteworthy performance in the creative arts including publication and/or presentation in recognized disciplinary scholarly meetings or comparable activities in the creative arts.

Within a five-year period, faculty members must accumulate 12 points for scholarly activities to attain and to maintain full graduate faculty membership. Three categories of scholarly activities are described below. A faculty member who desires to be granted graduate faculty membership must make application to the dean of the college through the department chair/school director and associate dean. Upon approval by the appropriate dean, the Graduate Dean and the Executive Vice Chancellor and Provost will review the applications for graduate faculty membership. A faculty member who loses full membership for failure to accumulate 12 points within five years may petition for associate membership. Full members of the graduate faculty may teach graduate courses, supervise directed studies, serve on graduate examination and thesis committees, and direct theses. Members are evaluated every five years for reappointment to graduate faculty by the dean of the college, Graduate Dean, and Executive Vice Chancellor and Provost.

**ASSOCIATE MEMBERSHIP** may be awarded to full-time or adjunct faculty members who have no prior university teaching experience or others who do not qualify for full graduate faculty membership but who meet the following criteria:

1. Possession of an appropriate earned doctorate or an appropriate professional degree in the teaching discipline from a graduate institution of recognized standing, or accomplishments

- that are considered equivalent (e.g., outstanding performance in the creative arts or in the business community).
2. Evidence of professional involvement and/or service through active participation in professional meetings, membership on professional committees, or by holding office in professional organizations.
  3. Evidence of some scholarly achievement in the subject-matter field, or continued, noteworthy performance in the creative arts (including at least one contribution in at least one category of scholarly activities every year).

Associate members of the graduate faculty may teach graduate courses, supervise directed studies, and serve on graduate examination and thesis committees. Faculty members may remain associate members of the graduate faculty as long as they exhibit evidence of scholarly achievement, professional service, and demonstrate excellence in classroom teaching. Associate members may qualify for appointment as full members of the graduate faculty at such time as the criteria for scholarly activities can be met, along with documented evidence of service and excellence in teaching. Associate members who seek to maintain this graduate faculty status must make application to the dean of the college through the department chairs/school directors no later than August 1 of each year.

**EMERGENCY EXCEPTIONS** In case of documented emergencies (e.g., resignations, retirement, death, illness), an undergraduate faculty member may be certified temporarily to be the instructor of a graduate course until such time as the affected department or school will have had reasonable time to employ a replacement graduate faculty member. Recommendations for emergency certification must be approved in advance by the college dean, Graduate Dean, and Executive Vice Chancellor and Provost. An emergency exception normally will be valid for one semester and will not be valid for more than one academic year.

### **3.2.6 Administrative Officers**

Individuals who are full-time employees of Troy University and who hold administrative positions or non-academic University administrative positions may not earn academic rank as a result of serving in such capacity. A faculty member who has academic rank and rights of tenure on the instructional staff and who accepts an appointment to an administrative office shall retain his/her academic rank and rights of tenure as an ex officio member of the instructional staff but shall have no rights of tenure in the administrative office to which he/she has been appointed. The additional salary, if any, for the administrative position shall be stated in the employment contract and shall not be paid to the faculty member when he or she ceases to hold the administrative position. An administrative officer having faculty status shall have all the responsibilities and privileges of faculty membership. Department chairs are not considered administrative officers; they are considered faculty members. Directors, associate deans, deans, and associate provosts are administrative officers. Administrative officers shall be appointed by the Chancellor and shall hold office at the pleasure of the Chancellor.

## **3.3 Policies on Recruitment, Selection, and Appointment**

### **3.3.1 Recruitment**

Because the quality of initial appointments is vital to the pursuit of academic excellence, the following statements of policy are deemed important guidelines for professional recruitment:

1. To assist Troy University in maintaining an outstanding faculty and to create an academically challenging atmosphere for the individual, the University is highly selective in making initial appointments.
2. In recruiting new faculty members, the University conforms to the Equal Employment Opportunity Policy of the University. (Refer to Section 1.6.1.)

Requests for additional faculty members, ranked or unranked, ordinarily originate in the department, school, or college. Such requests are based upon demonstrated need and, along with supporting data, are transmitted in writing to the appropriate academic dean and then to the Executive Vice Chancellor and Provost.

Once approval to employ faculty has been obtained, departments have an obligation to review carefully all applications and to treat all application files and all relevant departmental deliberations as confidential material. Those departments which utilize search committees in the process of receiving applications and screening applicants must ensure that all members of the departmental search committee are knowledgeable in matters of procedure, policy, and statutes affecting the interviewing and employment of faculty.

The primary focus of the department in screening applicants is their academic and teaching competencies in view of the department's specific needs. In reviewing the vitae of candidates for a faculty position, the department chair, associate dean and/or dean may obtain consultation or opinions from inside or outside the University.

It is the responsibility of the department chair, associate dean and the dean to transmit information to an applicant about the department's and University's standards and policies, using the Faculty Handbook as the basic reference.

**SPECIAL NOTE:** Prior to inviting a candidate to an interview, the department chair must submit the credentials of the applicant to the appropriate associate dean and dean for certification to teach those courses to fill the needs of that department. A Troy University standard form, Certification of Faculty, with attached supporting documents, will be used to document faculty credentials and qualifications.

Candidates selected for on-campus interviews will be determined by the department chair, associate dean and the dean (and/or the Vice Chancellor of University College) in consultation with the Executive Vice Chancellor and Provost. Such candidates will be given the opportunity to meet faculty members in the department, and will be formally interviewed by the associate dean and dean (and/or the Vice Chancellor of University College) the Executive Vice Chancellor and Provost, and the Chancellor. The Executive Vice Chancellor and Provost, in consultation with the dean (and/or the Vice Chancellor of University College), the associate dean and the department chair, will determine the amount of prior teaching experience applicable towards promotion and/or tenure and will communicate this information to the candidate, the department chair, the associate dean and the dean.

No representative of the University will make final commitments to prospective appointees without the written approval of the Executive Vice Chancellor and Provost and the Chancellor, and any such approved commitments other than those routinely offered to faculty members will be specified as part of the faculty contract.

### **3.3.2 Appointment of Ranked Faculty**

All appointments of ranked faculty are made by the Chancellor, on the recommendation of the department chair, the dean (or the dean and the Vice Chancellor of University College), and the Executive Vice Chancellor and Provost. Unless explicitly stated, all initial appointments are probationary and are for only one year. The precise terms and conditions of every new appointment will be clearly stated in the initial contract. The rank and tenure status offered new faculty members must be in accord with requirements of that rank and with the stated policies on promotion and tenure.

### **3.3.3 Documents and Records**

Because appointment as a ranked faculty member may lead to a continuing relationship with the University, it is essential that there be adequate and detailed documentation to support every action involving each individual—especially those actions involving appointment, promotion, tenure,

termination, and dismissal. Consequently, two categories of files will be maintained for each faculty member.

### **3.3.3.1 Pre-Employment File**

A pre-employment file contains all materials, viz., vitae, official transcripts, references, and completed application, required or received by the University in connection with a faculty member's initial employment. Prior to this appointment, this file is available only to the department chair, members of a duly appointed search committee, the associate dean, the dean, the Executive Vice Chancellor and Provost, and the Chancellor. After appointment, items in the file are transferred to the faculty member's file.

### **3.3.3.2 Faculty File**

Copies of all material placed in a faculty member's file will also be given to the faculty member. An individual faculty member's file will include, but will not be limited to, the following:

1. Information relating to the faculty member's academic and professional accomplishments submitted by the faculty member or placed in the file at the faculty member's request.
2. Copies of ratings and evaluations of the faculty member's professional performance made by students and supervisors as well as any formal recommendations of the Faculty Promotion and Tenure Committee.
3. Copies of all contracts issued to a faculty member.
4. Certification forms and other materials necessary to document specifically faculty teaching specialties and competencies.
5. Personnel information.

This file is available to the Executive Vice Chancellor and Provost or his/her designee, the dean, the associate dean, the department chair, University counsel, the Chancellor, and the individual faculty member. It is understood that the Faculty Promotion and Tenure Committee as well as the Personnel Advisory Committee may obtain a duplicate copy of records which are pertinent to its confidential deliberations. It is further understood that these committees may retain such duplicate copies in their files of privileged information.

A faculty member may, for the cost of duplication, obtain copies of materials in his/her personnel file. Any such copies will be made by a member of the Executive Vice Chancellor and Provost's staff or by his/her designee.

The personnel file will be kept in strictest confidence under the authority of the Executive Vice Chancellor and Provost and will be available for confidential use only by the individuals indicated above. However, for a valid reason, the faculty member may authorize in writing access to the file by a person not indicated above.

Moreover, the University may permit access to and copying from such files pursuant to lawful requests of federal or state agencies relevant to investigations, hearings, or other proceedings pending before such agencies or the courts.

### **3.3.4 Appointment of Unranked Faculty**

Appointment of unranked faculty is made in the manner and for the length of time set forth in Sections 3.2.2, Unranked Faculty and 3.2.3, Other Faculty Titles. Such appointments are normally subject to adequate enrollment in the faculty member's designated course(s).

The contract issued for unranked and extraordinary faculty will include title, salary, account number, and method of payment.



### **3.3.5 Appointment of Summer and Interim Session Faculty**

Summer and interim session faculty may be ranked or unranked. They are selected by the department chair in consultation with the associate dean, dean and the Executive Vice Chancellor and Provost in accordance with the needs of the University.

Summer and interim session faculty are employed to teach specific courses during the terms, and time spent teaching in a summer or interim session does not count toward tenure or promotion. Summer and interim session faculty are expected to be available for a reasonable amount of time to counsel students and to perform departmental functions.

### **3.3.6 Recruitment and Selection of Department Chairs**

Department chairs are selected through a search process involving faculty of the department and related departments, the associate dean, the dean, the Executive Vice Chancellor and Provost, and the Chancellor. Because a department chair has the obligation to build a department strong in teaching and scholarship, the appointment of a chair should be made in consultation with the faculty of the academic department.

## **3.4 Policies on Promotion in Academic Rank**

Troy University recognizes and accepts its responsibility to improve continually its academic stature. This improvement mandates an increasing rigor in the application of evaluation criteria to the process of promotion of faculty members. It is understood that initial employment affords no guarantee of advancement. Promotion is not automatic, nor is it based primarily upon seniority. Promotion to a higher rank is based upon the following criteria:

### **3.4.1 General Criteria**

Promotions are made on the basis of the fulfillment of the qualifications discussed in this section and in Section 3.2, Definition of Academic Ranks and Titles.

The initial responsibility of applying for advancement in rank and the burden of proof for the advancement rests with the individual faculty member subject to the proviso expressed in Section 3.6.1. Applications for advancement in rank must be accompanied by a recommendation from the individual faculty member's immediate supervisor, who is defined in Section 3.6.1.

Criteria set forth in this section and in Section 3.2, Definition of Academic Ranks and Titles, should be used by the individual faculty member in preparing any self-evaluations, by the immediate supervisor in evaluating faculty members, the associate dean, the dean, the Faculty Promotion and Tenure Committee, and the Executive Vice Chancellor and Provost in their respective deliberations. The relative weighting of these criteria depends, of course, upon the ranks for which the faculty member is being considered. No faculty member is entitled to promotion solely because of length of service.

See Section 3.10.5, Leaves of Absence, for more information.

### **3.4.2 Teaching Effectiveness**

Troy University recognizes that teaching effectiveness is the most important attribute of any faculty member. The attributes and qualifications which should be considered and documented in evaluating teaching effectiveness may include, but not necessarily be limited to, the following:

1. Command of one's subject.
2. Ability to organize subject matter and to present it clearly, logically, and imaginatively.
3. Knowledge of current developments in one's teaching discipline.
4. Ability to relate one's subject to other areas of knowledge.

5. Ability to provoke and broaden student interest in the subject matter.
6. Ability to develop and utilize effective teaching methods and strategies.
7. Availability for and effectiveness in academic advising and directing students.
8. Ability to develop and foster student utilization of current information technology.
9. Possession and demonstration of the attributes of integrity, industry, open-mindedness, and objectivity in teaching. (Refer to Section 3.6.1.)
10. Knowledge and proficiency in current educational technologies.

### **3.4.3 Teaching Experience**

The usual, minimum full-time ranked teaching experience required for each rank is detailed in Section 3.2.1, "The Ranked Faculty." Deviation from these minimums must be fully justified by the party initiating the request for early promotion.

A year of full-time, ranked teaching experience means that an individual has fulfilled the duties and responsibilities of a ranked faculty member for a complete academic year, summer and interim sessions excluded.

Part-time teaching as well as graduate assistant teaching at a regionally accredited college or university, or full-time artistic, business, or professional experience may be counted towards academic rank on a pro-rata basis, provided that the amount of credit has been agreed upon in writing by the faculty member, the department chair, the associate dean and dean, and the Executive Vice Chancellor and Provost and approved by the Chancellor at the time of initial appointment.

### **3.4.4 Service**

Troy University can function effectively only if its faculty members participate actively in University activities. Faculty members must be willing to undertake a reasonable number of non-teaching assignments, attend meetings, contribute their ideas and experience during the decision-making process, and shoulder their fair share of the work. Faculty members are expected to be active and collegial University citizens.

#### **3.4.4.1 Service to the Department or School**

The faculty member should perform all departmental duties which are assigned to him/her. All faculty members, unless excused by the department chair, are expected to attend departmental meetings and to participate actively in the work of the department.

#### **3.4.4.2 Service to the College**

Faculty members are expected to cooperate with supervisors and other faculty of the college by attending meetings, serving on committees, and in accepting other work assigned at the college level.

#### **3.4.4.3 Service to the University**

All faculty members are expected to serve on University committees (standing and ad hoc) and to be available for other non-teaching assignments such as advising student groups, accepting short-term administrative responsibilities, and assisting with registration and/or pre-registration activities. Members of the faculty are required to attend commencements each year and participate in University-sponsored activities. (Faculty members should confer with the campus administration to determine the number of commencements they are required to attend.) Faculty members also provide service to the University through their efforts at internationalizing the institution. These efforts may include, but not be limited to,

such activities as participating in faculty exchanges and study abroad programs, teaching at international sites, developing international curricula, and generally promoting globalization of the University.

#### **3.4.4.4 Service to the Community**

Troy University recognizes that its faculty members are professionals with unique and varied capabilities which permit them to make useful contributions to the larger social communities of which they are members. The University encourages faculty members to accept individually their responsibility to support those activities in which they can make a contribution. Involvement in the community not only benefits society, but it also publicizes the University and adds to its prestige. Faculty members are expected to be active in the outreach of the University to the local and regional community. Such service may include activities in the faculty member's professional area as a consultant or in a research capacity, activities as a resource person, lectures to community groups, and the participation in community activities which enhance the image of the University. It is expected that much, but perhaps not all, of the faculty member's service to the community will involve the use of academic expertise possessed by the faculty member.

#### **3.4.4.5 Service to the Academic and Professional Discipline**

Troy University expects its faculty members to be actively engaged in teaching and scholarship. Such active engagement often leads to opportunities for leadership and service to a faculty member's academic and professional discipline. Such opportunities, in general, are supported by the University although faculty members are strongly encouraged to discuss these activities with their department chairs, associate deans and deans prior to accepting responsibilities. Service to academic and professional disciplines may include serving as an editor of an academic journal, working as a member of an editorial review board for an academic publication, holding leadership positions within professional organizations, or serving as a member of a specialized accreditation review committee.

### **3.4.5 Research and Creative Work**

A requisite for effective teaching is active involvement in the intellectual and scholarly developments of an individual's field. Because what is considered appropriate research in one discipline may not be recognized as appropriate in another discipline, an individual's research or creative work should be evaluated in terms of its quality, its level of recognition among peers, and its significance to the particular discipline. Moreover, the University recognizes that not all research ends in publication and that the significance of all research and creative endeavors is that it underscores and illumines excellent classroom teaching. Evidence of appropriate endeavors and activities includes:

1. Publications.
2. Research grants and sponsored research projects.
3. Inventions and patents.
4. Artistic works and performances.
5. Reviews of creative and scholarly work.
6. Creation of educational materials.

### **3.4.6 Professional Competence and Activities**

Each faculty member has an obligation to maintain a high level of professional competence and to keep abreast of the developments in the academic discipline. In addition to research or creative work, other evidence of growth in professional competence includes:

1. Receipt of awards, grants, or fellowships.
2. Appointment in a scholarly capacity to state, regional, or national posts.
3. Active participation in professional organizations.
4. Reading papers or making presentations before learned societies.
5. Participation in conferences and institutes.
6. Postdoctoral education.
7. Participation in special programs (e.g., writing-across-the-curriculum, technology instruction, distance learning).

### **3.4.7 Merit Increases in Salary**

For the purposes of determining merit increases in faculty salaries, the criteria established in Sections 3.4.1 through 3.4.6 of this Faculty Handbook will be used as guidelines for the department chair, associate dean, and dean in recommending and documenting merit increases, if and when merit increases are authorized.

### **3.4.8 Individual Recordkeeping**

For the purposes of promotion in academic rank and tenure, faculty members must bear the responsibility for keeping their records current by forwarding to the department chair, the associate dean, the dean, and the Executive Vice Chancellor and Provost pertinent information to be included in their personnel files.

### **3.4.9 Faculty Evaluation and Professional Development Plan**

All faculty members have the right to be evaluated regularly by their department chair or immediate supervisor to assess the progress of their performance and professional growth. Such evaluations will be used to support recommendations regarding tenure, promotion, salary, and retention decisions.

The Faculty Professional Development Plan will provide full-time faculty members with the opportunity to define growth and performance objectives in the primary functions of teaching, research, and service and to receive constructive, documented feedback on their progress toward those objectives.

Unranked faculty, non-tenured faculty, and tenured faculty below the rank of Professor will be evaluated each year. Tenured faculty holding the rank of Professor will be evaluated every third year, reflecting performance and activities occurring during the period evaluated. Faculty members should contact their respective deans regarding procedures.

## **3.5 Policies on Tenure**

Tenure is granted to experienced faculty members to ensure their continuance in academic positions. To be eligible for tenure, a faculty member must have the minimum of an appropriate master's degree with a major or equivalent and/or professional experience in the teaching discipline and must hold the rank of instructor or higher.

Tenure shall not be granted for administrative appointments; however, a faculty member appointed to an administrative position does not lose tenure as a faculty member as a result of such an appointment and does not lose tenure for a leave of absence approved by the Chancellor (See Section 3.2.6, Administrative Officers).

### **3.5.1 Definition of Status and Appointments**

Faculty appointments are classified as follows:

1. Tenure-track appointments are given to faculty members whose scholarly and professional qualifications indicate that they demonstrate the potential necessary to make significant contributions to the ranked faculty.
2. Non-tenure-track appointments are given to faculty members who fill positions which do not lead to tenure. Faculty members employed to fill such positions will be tendered a contract prior to employment which clearly stipulates that time spent in these positions will not lead to or count toward tenure. If a non-tenure-track appointment is converted to a tenure-track appointment, service in a non-tenure track appointment will not count toward the probationary period for tenure.
3. Temporary appointments are given to faculty members whose services are required for a certain period of time, usually one academic year or less. Temporary faculty members are not eligible for fringe benefits available to full-time faculty members.
4. The probationary period, which precedes the granting of tenure, gives the individual faculty member time to demonstrate his/her ability and also permits the University to observe and evaluate one on the basis of performance in a faculty position. During this period, a non-tenured faculty member has the same academic freedom as a tenured faculty member; non-reappointment (See Section 3.8.1) will not be based on reasons which involve a violation of academic freedom. Termination, dismissal, or suspension of a probationary faculty member can occur only in accordance with the provisions of Section 3.8 of this Faculty Handbook. A faculty member holding a tenure-track appointment but who is serving his/her probationary period is evaluated annually by the department chair and recommended to the dean for reappointment or non-reappointment. During the probationary period, either the University or the probationary faculty member may exercise the severance prerogative without cause.

### **3.5.2 Meaning of Tenure**

Conferral of tenure means that faculty members are, after the probationary period, guaranteed the continuance of their full-time appointments until retirement unless there is proof of adequate cause (as defined in Section 3.8.5, Dismissal), prolonged mental or physical incapacity (see Section 3.8.4.1), financial exigency (as defined in Section 3.8.4.2), or changes in the educational program (as defined in Section 3.8.4.3). Faculty members who have been granted tenure will continue to be evaluated in accordance with University policy on an annual basis.

Institutions of higher education are conducted for the common good, which depends upon the free search for truth and its free exposition. Tenure is a means to certain ends, specifically:

1. Freedom of teaching, research, and extramural activities.
2. A sufficient degree of economic security to make the profession attractive to individuals of ability.
3. Tenure is not, nor should it be, intended as a shield for mediocrity, incompetence or academic irresponsibility.

Consequently, tenure is indispensable to the success of Troy University in fulfilling obligations to its students and to society because it protects faculty members who qualify for it against untoward pressures from inside and outside the academic community. In addition, it protects academic freedom which, in turn, maintains the University's dedication to the search for truth.

### **3.5.3 Date of Tenure**

The probationary period shall not exceed seven years of continuous full-time teaching for Troy University. For those faculty members holding tenure-track appointments, a year of full-time teaching

experience means that an individual has fulfilled the duties and responsibilities of a ranked faculty member for a complete academic year, excluding summer and interim sessions.

The probationary period required for promotion in academic rank and advancement to tenure shall commence with the initial fall term of continuous service.

At the time of initial appointment, a faculty member may receive credit towards tenure for prior college or university service. The amount of credit received should be indicated in the initial appointment.

If a non-tenured faculty member holding a tenure-track appointment accepts a combined faculty and administrative appointment (as defined in Section 3.2.6), each continuous academic year of service in this capacity shall be calculated at the rate of two-thirds of a probationary academic year of full-time teaching service, provided the faculty member meets or exceeds the criteria set forth in Section 3.2.6.

If a decision is made that tenure is not to be granted to a faculty member, notice must be given by the Executive Vice Chancellor and Provost as early in the probationary period as possible, and at least by the dates specified in Section 3.7.2, Calendar Dates for Promotion and Tenure.

See Section 3.10.5, Leaves of Absence, for more information.

### **3.5.4 Criteria for Tenure**

Tenure is not granted solely on the basis of time served in teaching. To be granted academic tenure at Troy University, a faculty member must not only be fulfilling the criteria for the rank in which he/she is serving but he/she must also be judged capable of being promoted to the next rank at the appropriate time. Additionally, an individual must demonstrate promise of remaining a productive member of the academic community and the University.

Tenure-track faculty members are responsible for offering all pertinent evidence to the department chair, dean, Executive Vice Chancellor and Provost, and to the Promotion and Tenure Review Committees (described below in Section 3.7, Promotion and Tenure Process). An evaluation for tenure is required of all tenure-track faculty members by the end of the sixth consecutive year. Faculty members who have the qualifications outlined above may apply for tenure after completing three consecutive years of full-time teaching service for Troy University.

### **3.5.5 Annual Review of Non-Tenured Faculty**

During the probationary period, non-tenured faculty holding tenure-track appointments will be evaluated by the immediate supervisor. As a part of the evaluation, the immediate supervisor will include any relevant facts which may have a direct bearing on the individual's progress toward and/or potential for tenure.

## **3.6 Procedures for Review, Promotion in Rank and/or Advancement to Tenure**

Awards of tenure and promotion in rank are, in the final instance, decisions made by the Chancellor of the University, based upon the recommendation of the College Review Committee (CRC) and the University Review Committee (URC) described below, as well as the recommendation by the Executive Vice Chancellor and Provost.

### **3.6.1 General Procedures**

Not later than May 31 of each year, all full-time, ranked faculty members who are eligible for and who desire promotion and/or tenure must indicate this desire by completing the Intent to Apply (Form A in Appendix C) and submit it to the immediate supervisor by the specific deadline. A faculty member is responsible for providing pertinent information and documentation on the completed forms. A faculty member should be guided by the promotion criteria in Section 3.4, Policies on Promotion in Academic Rank, Section 3.5, Policies on Tenure, and/or Section 3.6, Procedures for

Review, Promotion in Rank and/or Advancement to Tenure and elsewhere in the Faculty Handbook (see Appendix C) in the selection and compilation of the documentation submitted as part of the application for review.

The immediate supervisor will prepare a recommendation based upon the individual's total professional development. (See Section 3.4, Policies on Promotion in Academic Rank) The supervisor's written recommendation along with the individual's form, including any supporting documents, will be forwarded by the chair through the associate dean and the dean to the Executive Vice Chancellor and Provost by November 15 for individuals being considered or recommended for promotion and/or tenure.

A judgment of the development of each faculty member requires that supervisors review pertinent information from a variety of sources, such as the following:

1. The faculty member's self-evaluation, along with professional development plans submitted by the faculty member and approved by the supervisor.
2. Peer evaluations by members of the department regarding teaching effectiveness through actual observation as well as through interactions with the faculty member outside the classroom.
3. Evaluation of the teaching effectiveness by the supervisor.
4. Evaluations of the faculty member by students. Supervisors will weigh student evaluations in terms of compatibility and consonance with other criteria.

Data obtained from these sources should be incorporated into the supervisor's written recommendations regarding promotion and/or tenure and shared with the faculty member in a constructive, confidential manner.

### **3.6.2 Procedures Relative to Promotion in Rank**

Individual faculty members generally may not apply for advancement until the minimum length of time in a current rank has been completed. However, a supervisor may recognize superior service by recommending advancement earlier.

A faculty member who is eligible for and desires promotion in rank must indicate this desire on the Promotion/Tenure Form and must complete the form in conformity with the instructions thereon.

NOTE: A faculty member bears full responsibility for applying for promotion in Academic Rank. (See Section 3.4, Policies on Promotion in Academic Rank.) No notice of eligibility will be tendered. The immediate supervisor must indicate either approval or disapproval of the application and, using the appropriate guidelines published elsewhere in this Faculty Handbook, substantiate the recommendation. The immediate supervisor should also share this recommendation with the individual faculty member.

The Chancellor, through the Executive Vice Chancellor and Provost, will, by February 1, simultaneously inform in writing the candidate, the associate dean, and the dean of the outcome of the application for promotion in rank.

### **3.6.3 Procedures Relative to Advancement to Tenure**

Although a supervisor may recognize superior service by recommending an early granting of tenure and the University may concur by offering tenure, individual faculty members normally should not apply for tenure until the beginning of the sixth year of the probationary period or its equivalent, as defined in Section 3.5.3, Date of Tenure.

By May 31 of each spring semester, all full-time, ranked faculty members who are eligible for and who desire tenure must indicate this desire by completing the Intent to Apply (Form A in Appendix C) and submit it to the immediate supervisor within the specified time. Faculty members bear full responsibility for the timely application.

In the case of a faculty member being considered for tenure, the immediate supervisor must indicate in the recommendation whether the faculty member should be granted tenure at the appropriate time, and using the applicable guidelines published in this Faculty Handbook, substantiate the recommendations. The department chair will forward the completed form and the recommendations through the associate dean to the dean of the college not later than October 1. In turn, the dean shall forward all materials and the recommendations of the College Review Committee to the Executive Vice Chancellor and Provost on or before November 15. The Executive Vice Chancellor and Provost will make available to the University Review Committee the recommendations of the College Review Committee along with other supporting and pertinent data, by November 20. This committee is authorized to receive solicited and unsolicited information as part of its deliberations. The University Review Committee shall return the materials, along with its recommendations, to the Executive Vice Chancellor and Provost by December 15.

NOTE: The Executive Vice Chancellor and Provost shall submit recommendations, together with all previous recommendations and the completed form, to the Chancellor by January 15. The Chancellor, through the Executive Vice Chancellor and Provost, will, by February 1, simultaneously inform in writing the candidate for tenure, the department chair, the associate dean, and the dean of the outcome of the application for advancement to tenure. When the decision is to award tenure, the faculty member will be informed that the next annual contract will be issued in the form of a tenure letter. When the decision is not to award tenure, the faculty member who is in the mandatory review period will receive a notice of non-reappointment (as defined in Section 3.8.1, Notice of Non-reappointment).

## **3.7 Promotion and Tenure Process**

### **3.7.1 General Policy Statements**

1. Candidates for tenure or promotion as well as University and College Review Committees, chairs, deans, associate deans, and the Executive Vice Chancellor and Provost must understand that tenure and promotion decisions are based on professional judgments. These guidelines are designed to inform those judgments.
2. A faculty member is evaluated in the areas of teaching, scholarly and creative activities, and service. For faculty being considered for tenure, the evaluation covers the time period from the initial date of employment at Troy University to the present and may include previous experience elsewhere. For faculty being considered for promotion, the evaluation covers the time period from the last promotion to the present.
3. A faculty member who is still dissatisfied with the disposition of his/her review at the conclusion of the process may follow the procedure outlined in Section 3.10.2, Grievances.
4. For purposes of this document, senior faculty members are defined as tenured associate professors and professors.
5. In the event that a faculty member elected to the College Review Committee, the University Review Committee, or the Committee on Promotion and Tenure Appeals is unable to serve, a new representative will be elected.
6. Each person in the review and evaluation process has a professional responsibility to treat as confidential any information that evaluates another's work.

### **3.7.2 Calendar Dates for Promotion and Tenure**

By May 1 of each year, the Executive Vice Chancellor and Provost will establish the calendar for the promotion and tenure decision cycle for the next academic year, to be sent to each member of the faculty and to be posted in each department.



The calendar will include the following approximate key dates:

<i>Key Calendar Dates for Promotion and Tenure</i>	
May 31	Candidates notify chair of intent to apply.
June 15	Chair validates eligibility and sends a copy of form through the associate dean to the dean.
September 1	Submission of portfolios by the candidates.
September 15	Chair submits candidate's Portfolio & Tracking Forms to the associate dean.
October 1	Associate dean submits candidate's Portfolio & Tracking Forms to the dean.
November 15	Completion of College Review Committee's (CRC) action on candidates. Recommendations are submitted to the Executive Vice Chancellor and Provost.
December 15	Completion of University Review Committee's (URC) action on candidates
January 15	The Executive Vice Chancellor and Provost shall submit recommendations, together with all previous recommendations and the completed form, to the Chancellor.
February 1	Candidates notified of results

### **3.7.3 Eligibility and Application for Promotion and Tenure**

Refer to the eligibility criteria as specified in the Faculty Handbook:

- a. Promotion (reference Sections 3.4. and 3.6).
- b. Tenure (reference Sections 3.5. and 3.6).

A faculty member being considered for promotion and/or tenure must complete and submit to the department chair his/her portfolio (described in 3.7.4 below) on or before September 1.

### **3.7.4 Evaluation and Documentation**

Candidates for promotion and/or tenure must provide appropriate documentation required for evaluation of teaching, scholarly and creative activities, and service. Documentation is contained in a portfolio for which the faculty member is responsible for maintaining currency. The portfolio must include:

1. Review Information Form (Appendix C, Form B.)
2. Faculty essay (maximum of ten pages, typed, double-spaced) that addresses teaching/advising, scholarly/creative activities, and leadership/service.
3. Professional Development Plan covering the period under consideration.
4. Faculty evaluation documents covering the period under consideration.
5. All course evaluations covering the period under consideration.
6. Appropriate documentation and evaluations of reported activities and achievements (Form C, Candidate Evaluation, must be used if the candidate wishes to include letters of support. See appendix.

Note: Faculty should be judicious in the inclusion and organization of materials in the portfolio and are responsible for ensuring the accuracy, completeness, and integrity of all materials.

### **3.7.4.1 Evaluation of Activities**

The candidate's teaching activities must be evaluated by students and the immediate supervisor or department chair and may be evaluated by colleagues. The candidate must provide substantial evidence of sustained teaching effectiveness and must give special care to the documentation of claims of teaching excellence.

In addition, the candidate's scholarly and creative activities may be evaluated by sources external to the University. For example, this may be done through the submission of scholarly/creative work submitted to refereed journals, juried exhibits, or invited performances. The candidate must provide evidence of achievement in the portfolio and, where appropriate, submit the actual works or reproductions thereof.

The candidate's service may be evaluated by colleagues and/or others familiar with the contribution. The candidate must provide substantial evidence of sustained quality service.

### **3.7.5 Departmental Responsibilities and Procedures**

The chair validates eligibility for promotion or tenure and submits the candidate's tracking form(s) (Forms D and E, Appendix C) through the associate dean to the dean. The chair verifies that all information concerning each candidate is in order, and attests that, to the best of his/her knowledge, all information is correct, and forwards the portfolios of the candidates through the associate dean to the dean.

The chair reviews each candidate's portfolio, indicates his/her recommendation on the Chair's Recommendation Form (Form F), and provides a narrative that supports that recommendation. The narrative should describe the candidate from an overall viewpoint and show how he/she relates to the needs and goals of the department. The Chair's Recommendation Form is presented at the CRC meeting during which action is taken on applications.

The chair also has responsibilities on the CRC (see CRC section below).

### **3.7.6 College Review Committee**

#### **3.7.6.1 General Guidelines**

1. The CRC is composed of five senior faculty members elected with at least one from each institutional unit (i.e., the four Alabama campuses and University College, as appropriate for each CRC, respectively); two department chairs selected by the dean; one outside dean, associate dean or chair appointed by the Executive Vice Chancellor and Provost; and the dean of the college (names of representatives are reported on Form G, see Appendix C). Departmental faculty members serve staggered three-year terms, with the initial length of the terms to be determined by the CRC. Elected CRC representatives are not eligible to serve on the Committee on Promotion and Tenure Appeals during the same year. A faculty member cannot actively serve on the CRC during a year in which he/she is being considered for promotion. In the instance where the faculty member is also a chair, the dean appoints a senior faculty member to serve in place of the chair. Other instances will be referred to the Executive Vice Chancellor and Provost.
2. Immediately subsequent to the election of the CRC members each fall, a second ballot will be held listing eligible members not elected during the initial balloting to determine an at-large Alternate CRC Member for that tenure and promotion cycle. The Alternate Member will review portfolios and attend the CRC meeting without participating until and if an occasion arises when he/she is requested by the CRC Chair to replace an original CRC member who becomes incapacitated or is unable to attend. Once the Alternate Member takes the place of the original member, he/she will continue in that person's place through the remainder of that year's tenure and promotion cycle.

3. For the purposes of tenure and promotion, librarians will be reviewed by a College Review Committee that is chaired by the Dean of Library Services and is composed similarly to the College Review Committee described above. Five librarians selected with at least one from each unit (names of representatives are reported on Form G), two department chairs selected by the Dean of Library Services, one outside dean, associate dean, or department chair appointed by the Executive Vice Chancellor and Provost compose the review group for librarians.
4. The dean, a non-voting member, chairs the meetings of the College Review Committee (CRC); additionally, he/she reviews the portfolios independently and formulates a separate recommendation to the Executive Vice Chancellor and Provost on each candidate.
5. The outside dean or chair is appointed by the Executive Vice Chancellor and Provost. He/she serves for a one-year term and may be re-appointed.
6. The dean is responsible for the security of the files.
7. Members of the CRC should consider each candidate's credentials from an objective perspective, and all discussion of the candidacy will be confidential.
8. Recommendation forms submitted by the CRC and the dean should be clear, brief, and unambiguous in terms of intent.
9. The CRC is responsible for the annual review of the promotion and tenure process up through the CRC level and of any proposed changes in the college or departmental criteria. Any recommendations from this review shall be forwarded to the URC in accordance with established dates.

#### **3.7.6.2 Procedural Guidelines**

1. The dean may call for an organizational meeting at which time the process is described and responsibilities assigned or he/she may convey the necessary information through a memorandum to the CRC members.
2. The dean makes the portfolios and all documentation available to members of the CRC for evaluation prior to the formal CRC meeting.
3. Members of the CRC review the portfolios prior to the formal meeting(s).
4. At the conclusion of discussion of each category (promotion or tenure), the CRC votes by secret ballot for either approval or disapproval of each of the candidates in that category.
5. The dean tallies the votes and announces the results. In the event of a tie, the portfolio is forwarded to the URC.
6. Following action on all candidates, any member of the CRC may request a re-hearing and re-vote for a specific candidate. If a two-thirds majority of the voting members agree, the re-hearing and re-vote are held.
7. A member of the CRC is designated by the dean to enter the results of the voting, along with any pertinent comments, on the College Review Committee Recommendation Form (Form H, Appendix C). In all cases involving promotion, written justification for the voting must also be provided on the form. In the event the vote is not unanimous, the justification shall reflect both the expressed majority and minority positions.
8. The dean indicates approval or disapproval of each candidate on the Dean's Recommendation Form (Form I, Appendix C,) and adds comments. The dean informs the College Review Committee of his/her recommendations, giving explanations, as appropriate.

9. The dean forwards a completed College Summary Sheet for Promotion (Form J, Appendix C) and College Summary Sheet for Tenure (Form K) and the Portfolios of the approved candidates to the Executive Vice Chancellor and Provost.
10. Within three working days of the completion of action by both the CRC and the dean, written notification is sent to each candidate by the dean of the status of his/her application for tenure and/or promotion. Notification will be satisfied by hand delivery to the faculty member or delivery to the faculty member's campus office. The types of notification and the consequences are summarized in the table below.
11. CRC Forms that are not forwarded are retained in the office of the dean for three years.

<b>Promotion and Tenure Process Action and Notification Requirements (CRC)</b>		
<i>Action</i>	<i>Type of notification</i>	<i>Further action</i>
Recommended by both CRC and dean	Written	Application forwarded to URC and Executive Vice Chancellor and Provost
Recommended by either CRC or dean	Written, specifying whether CRC or dean recommended disapproval	Application forwarded to URC and Executive Vice Chancellor and Provost
Not recommended for promotion by both CRC and dean	Written	Application denied unless timely appeal is filed
Not recommended for tenure by both CRC and dean	Written	Executive Vice Chancellor and Provost notified on summary sheet

### **3.7.7 University Review Committee (URC)**

1. The URC is comprised of one elected faculty member from each of the colleges (only senior faculty members are eligible; the names of representatives are reported on Form L), the deans of the Colleges, the Dean of Library Services, the Associate Provost/Dean of the Graduate School, the Associate Provost/Dean of Undergraduate Studies, two members of the Faculty Council, and the Executive Vice Chancellor and Provost, who is a non-voting member.
2. Faculty members on the URC serve as elected members on their respective CRCs and are elected by their CRC voting members at the conclusion of the CRC review of candidates. They serve alternating two-year terms.
3. At the time a CRC elects its URC representative, each CRC will also elect an Alternate URC member who will serve during that year's tenure and promotion cycle. The Alternate Member will review portfolios, and attend the URC meeting without participating until and if an occasion arises when he/she is requested to replace an original URC member who becomes incapacitated or is unable to attend. Once the Alternate Member takes the place of the original member, he/she will continue in that person's place through the remainder of that year's tenure and promotion cycle.
4. The Executive Vice Chancellor and Provost is responsible for the security of the files.
5. Members of the URC should consider each candidate's credentials from an objective perspective, and all discussion of the candidacy will be confidential.

6. Recommendation forms submitted by the URC should be clear, brief, and unambiguous in terms of intent.
7. The Executive Vice Chancellor and Provost, who chairs the URC, may call an organizational meeting at which time the process is described and responsibilities assigned, or he/she may convey the necessary information through a memorandum to the URC members.
8. The Executive Vice Chancellor and Provost makes the portfolios and all documentation available to members of the URC for evaluation prior to the formal URC meeting(s).
9. Members of the URC review the portfolios prior to the formal meeting(s).
10. At the conclusion of discussion of each category (promotion or tenure), the URC votes by secret ballot approval or disapproval of each of the candidates in that category.
11. The Executive Vice Chancellor and Provost tallies the votes and announces the results. In the event of a tie, the portfolio is forwarded to the Chancellor.
12. Following consideration of all candidates, any member of the URC may request a re-hearing and re-vote for a specific candidate. If a two-thirds majority of the voting members agree, the re-hearing and revote are held.
13. The Executive Vice Chancellor and Provost designates a member of the URC to enter the results of the voting, along with any pertinent comments, on the University Review Committee Recommendation Form (Form M, see Appendix C). In cases involving promotion, written justification for the voting must also be provided on the form. In the event the vote is not unanimous, the justification must reflect both the expressed majority and minority positions.
14. The Executive Vice Chancellor and Provost indicates approval or disapproval of each candidate on the Executive Vice Chancellor/Provost's Recommendation Form (Form N, see Appendix C), and adds comments. The Executive Vice Chancellor and Provost informs the URC of his/her recommendation, giving explanations as appropriate.
15. The Executive Vice Chancellor and Provost forwards a completed University Summary Sheet for Promotion (Form O, see Appendix C) and University Summary Sheet for Tenure (Form P, see Appendix C) and the portfolios of the approved candidates to the Chancellor.
16. Within three working days of the completion of action by both the URC and the Provost, written notification is sent to each candidate by the Executive Vice Chancellor and Provost of the status of his/her application for tenure and/or promotion. Notification will be satisfied by hand delivery to the faculty member or delivery to the faculty member's campus office. The types of notification and the consequences are summarized in the table below. The Executive Vice Chancellor and Provost shall submit recommendations, together with all previous recommendations and the completed form, to the Chancellor by the date shown in Section 3.7.2, Calendar Dates for Promotion and Tenure.
17. The URC is responsible for the annual review of the promotion and tenure process and of this document and approval of any updating of the college or departmental criteria.

### Promotion and Tenure Process Action and Notification Requirements (URC)

<i>Action</i>	<i>Type of notification</i>	<i>Further action</i>
Recommended by both URC and Executive Vice Chancellor and Provost	Written	Application forwarded to Chancellor
Recommended by either URC and Executive Vice Chancellor and Provost	Written, specifying whether URC or Executive Vice Chancellor and Provost recommended disapproval	Application forwarded to Chancellor
Not recommended for promotion by both URC and Executive Vice Chancellor and Provost	Written	Application denied unless timely appeal is filed
Not recommended for tenure by both URC and Executive Vice Chancellor and Provost	Written	Chancellor notified on summary sheet

#### 3.7.8. Responsibilities of the Chancellor

The Chancellor considers the recommendations of the preceding reviewers and makes the final decision on the candidates.

A list of the candidates approved by the Chancellor is published following the conclusion of the cycle and the individual notification of the candidates. The Office of University Relations is supplied with the list to be used in news releases at its discretion.

#### 3.7.9 Post-Cycle Follow-Up

1. Within one month of the conclusion of the cycle, the Review Information Form (Appendix C, Form B) and documentation are returned to the office of the dean, where they are retained for three years.
2. The Executive Vice Chancellor and Provost completes the tracking form(s) for each faculty member eligible for consideration for promotion or tenure and prepares appropriate statistical summaries.

#### 3.7.10 Procedure for Communication of Information About Denial of Tenure or Promotion

Non-tenured faculty members who are notified that their application for tenure has been denied are not entitled to a statement of the reason upon which the decision is based. However, the faculty member, during his/her probationary period, should seek guidance from the chair and senior faculty members in developing the required skills and professional competencies as he/she moves toward achieving tenure.

The votes of the various review groups must remain confidential, but the reasons advanced at each level for denial of promotion should be communicated by the responsible administrator (the chair, the dean, the Executive Vice Chancellor and Provost) for the purpose of providing direction to faculty seeking promotion. At the request of the candidate, the department chair will schedule a conference with the candidate, the dean, associate dean, and the department chair. The reasons for denial are

to be explained at the conference, and the candidate will be assisted in developing a program of professional development in teaching/advising, scholarly/creative activities, and leadership/service which will enhance the likelihood of his/her promotion.

### **3.7.11 Procedures for Appeal**

#### **3.7.11.1 Committee on Promotion and Tenure Appeals (CPTA)**

1. Judgments on promotion and/or tenure decisions are not appealable. The CPTA hears only appeals that address alleged procedural violations. If the committee finds a procedural violation, the step at which the procedural violation occurred will be redone, either by the person who violated a procedure or by a replacement. The burden of proof of a violation rests with the faculty member making the appeal. Split review recommendations (e.g., when the CRC and the dean disagree) are not subject to appeal, since the application remains under active consideration in spite of a split recommendation. When an appeal is filed, the CPTA notifies, in writing, the next review group and provides a copy to the charged group (e.g., CRC/dean, URC/Executive Vice Chancellor and Provost, Chancellor) of the nature and extent of the appeal.
2. The CPTA consists of six senior faculty members (one elected from each college during the fall college faculty meeting; names of representatives are reported on Form L Appendix C), with three serving at any one time. The six members elect a chair. When the committee is called into service, three active members are chosen in the following manner: The CPTA member from the college of the faculty member who is making the appeal serves if the faculty member so requests and the CPTA member concurs. The CPTA chair draws by lot the names of the other two members. In the case where the CPTA member from the faculty member's college does not serve, the CPTA chair draws three names by lot. The three CPTA members elect a chair of the active subcommittee. In the case of a candidate who appeals twice, once at each of the two levels, only one CPTA representative may be a member of both committees.

The CPTA chair is responsible for scheduling hearings as necessary, for assuring that the correct procedures are carried out, and for submitting the results of each hearing to the Provost within two working days of the hearing.

#### **3.7.11.2 Procedure**

1. Within three working days following receipt of notification of action by either review group, candidates whose names will not be forwarded to the next level are notified in writing by the dean or Executive Vice Chancellor and Provost, as appropriate. Notification will be satisfied by hand delivery to the faculty member or delivery to the faculty member's campus office.
2. A candidate wishing to appeal should contact the CPTA chair in writing to request a hearing within seven working days after notification has been sent by the dean or Executive Vice Chancellor and Provost.
3. The CPTA chair sets a time for the appeal hearing convenient to the committee members and to the candidate, but in all cases this date occurs prior to the meeting of the review group next in line to review the candidate's portfolio.
4. The CPTA members review the completed portfolio prior to the hearing.
5. The faculty member requesting the appeal and/or his/her representative may be present at the hearing and make a presentation of the case. The University attorney also may be present.
6. After the presentation by the candidate and other invited participants, the CPTA meets in closed session to discuss the appeal and to decide if there is cause for further action.

7. If the CPTA decides that there is merit in the appeal, the candidate's portfolio is forwarded to the next level for consideration, and the candidate is notified in writing on the same day, with copies to the associate dean, the dean, and Executive Vice Chancellor and Provost. The chair of the CPTA ensures that the credentials are submitted with comments to the appropriate person at the next level of review.
8. If the CPTA decides that there is not sufficient cause for further action, the chair notifies the candidate immediately by telephone, if possible. In any event, the chair notifies the candidate in writing on the same day, with copies to the associate dean, the dean, and Executive Vice Chancellor and Provost.

### **3.7.11.3 Scope of the Appeals Procedure**

This appeals procedure is in effect only while the promotion and tenure cycle is underway. A faculty member who is dissatisfied with the disposition of the case at the conclusion of the cycle may follow the procedure outlined in the Troy University Faculty Handbook Section 3.10.2, Grievances.

## **3.8 Policies and Procedures Relating to Severance**

It may be necessary, on occasion, for the University or the individual faculty member to sever the professional relationship. In order to protect the interests of both parties, the various types of severance (non-reappointment, resignation, termination, dismissal) are here defined, and the policies and procedures related to each category are accordingly set forth.

### **3.8.1 Notice of Non-Reappointment**

Because all initial probationary contracts to the ranked faculty at Troy University are made with the understanding that both the University and the appointee will engage in a period of mutual evaluation prior to establishing a continuous association, a severance prerogative rests with either party. The term *non-reappointment* means that the University has decided not to renew an appointment at the conclusion of its term. A major responsibility of Troy University is to recruit and retain the best qualified faculty within its means. Therefore, wide latitude, consistent with academic freedom and due process, is accorded the department chair, associate dean and the dean in meeting this responsibility. The decision not to reappoint a tenure-track faculty member rests, in the final instance, with the Executive Vice Chancellor and Provost. Such decisions are normally made in consultation with the department chair, associate dean and the dean and with the approval of the Chancellor. Recommendations for non-reappointment normally originate from the immediate supervisor. Because a notice of non-reappointment is not a dismissal for cause, it would be unnecessary and inappropriate for the University to set forth its reasons. Written notice of non-reappointment during the probationary period will be given to the faculty member in advance of the expiration of the appointment:

1. not later than March 1 of the first academic year of service if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination; or if a partial-year appointment, at least three months in advance of its termination;
2. not later than December 15 of the second academic year of service if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination;
3. at least twelve months before the expiration of an appointment after two or more years of service to the University.



### 3.8.2 Notice of Renewal

Faculty members will ordinarily be notified of the terms and conditions of renewals by March 15, but in no case later than April 30. Faculty members should keep in mind that legislative appropriations are not known at the time renewals are issued and that they will be notified of salary increases only after appropriations are announced and the Board of Trustees has approved a budget.

The following table illustrates the written notification process concerning re-employment and tenure status for a faculty member at the rank of instructor or above:

Written notification requirements relating to re-employment and tenure status by March 15		
<i>Years of Service</i>	<i>Nature of Notification</i>	<i>Faculty Responsibilities</i>
Four	Faculty member will be employed for fifth year with tenure OR Faculty member will be employed for fifth year without tenure (a fifth probationary year) OR Faculty member will be employed for a fifth year on a terminal contract.	Faculty member must initiate request to be considered for tenure by <b>May 31</b> according to the Faculty Handbook Section 3.7.2.
Five	Faculty member will be employed for a sixth year with tenure OR Faculty member will be employed for a sixth year without tenure (a sixth probationary year).	Faculty member must initiate request to be considered for tenure by <b>May 31</b> according to the Faculty Handbook Section 3.7.2.
Six	Faculty member will be granted tenure beginning in the faculty member's seventh year OR Faculty member will be employed for a seventh year on a terminal contract.	

### 3.8.3 Resignation

Resignation is a severance action by which a faculty member severs the relationship with Troy University.

A faculty member may resign at the end of an academic year provided that he/she gives notice in writing at the earliest possible opportunity, but not later than fifteen calendar days after receiving notification of the terms of his/her appointment for the coming year. The faculty member may request an extension of this time period in case of hardship, in a situation in which he/she would otherwise be denied substantial professional advancement or other opportunity, or in case of prolonged mental or physical illness. (A prolonged period is one that is expected to continue beyond an academic or a calendar year.) If a resignation is for reasons of prolonged mental or physical illness, the University, in consultation with the individual and/or his/her representative may consider whether a leave of absence would be appropriate and beneficial for all parties concerned.

### **3.8.4 Termination**

Termination is a severance action by which the University terminates the services of a faculty member before the expiration of his/her contract because of circumstances not related to performance. Prolonged mental or physical illness, financial exigency, or changes in the educational program are causes for termination of tenured faculty. Prolonged mental or physical illness or financial exigency are causes for the termination of probationary faculty before the expiration of their current contracts.

#### **3.8.4.1 Prolonged Mental or Physical Incapacity**

Termination for medical reasons will be based upon clear and convincing medical evidence. The decision to terminate for such reasons will be made only after the faculty member or his/her representative has been informed in writing of the basis of the proposed action and has been afforded an opportunity to respond to the proposed action. Whenever there is a question of mental or physical incapacity, University administration will determine if such illness is included in the Americans With Disabilities Act (ADA). The University reserves the right to require a medical examination by a physician, subject to a right to obtain a third opinion in the event of any disagreement.

A faculty member who is to be terminated for reasons of prolonged mental or physical incapacity shall be informed of any disability programs for which the faculty member may be eligible.

A faculty member may appeal a proposed termination resulting from prolonged mental or physical incapacity by requesting an on-the-record adjudicative hearing by a subcommittee of the Personnel Advisory Committee. The Personnel Advisory Committee will submit its recommendations to the Chancellor for a final disposition.

#### **3.8.4.2 Financial Exigency**

The term *financial exigency* is defined as an imminent financial crisis which threatens the economic viability of the University as a whole and which cannot be alleviated by less drastic means.

Upon consultation with the Faculty Council, the Chancellor will seek approval from the Board of Trustees to declare officially that a condition of financial exigency exists or is imminent, and that all feasible alternatives to termination of appointments have been pursued. In considering how to deal with the financial situation, the retention of a viable academic program must be the primary goal, and it should be demonstrated that the faculty is not bearing an undue proportion of the economic impact.

Proposals for necessary program reductions will be submitted to the Faculty Council from the Academic Council, the Graduate Council, the Personnel Advisory Committee, the Institutional Effectiveness Committee, and from the concerned departments or divisions and related areas of academic concentration on the short-term and long-term viability of the proposed program reductions. The Faculty Council will evaluate these proposals and tender recommendations to the Chancellor. Final approval rests with the Board of Trustees, which may require the Personnel Advisory Committee to monitor the entire procedure.

When such reductions are considered, tenure rights will be protected insofar as possible. If it becomes necessary to terminate tenured faculty members, the Chancellor shall instruct the chair of the Faculty Council to appoint an ad hoc sub-committee of elected Council members to determine the criteria for identifying individuals whose appointments are to be terminated.

Once a faculty member has been given notice of proposed termination of appointment, the following procedures will apply:

1. The faculty member will have the right to a full, on-the-record adjudicative hearing before a sub-committee of the Faculty Council. Issues in such a hearing will be restricted to the following:
  - (i) The existence and extent of the condition of financial exigency. The burden will rest on the administration to prove the existence and extent of the condition, and the findings of a faculty sub-committee in a previous proceeding involving the same issue may be introduced.
  - (ii) The validity of the educational judgments and the criteria for identification for termination; however, the recommendations of the Faculty Council on these matters shall be considered presumptively valid.
  - (iii) The proper application of the criteria in the individual case.
2. The sub-committee of the Faculty Council will submit a recommendation in each such case to the Chancellor. The Chancellor may request a review of the hearing by the Personnel Advisory Committee prior to submitting the recommendation to the Board of Trustees.
3. In the event it becomes necessary for the University, because of financial exigency, to terminate appointments, the University will not at the same time make new appointments except in extraordinary circumstances in which a serious distortion in the academic program would otherwise result. Similarly, a tenured faculty member will not be terminated in favor of retaining a non-tenured faculty member, except in extraordinary circumstances in which a serious distortion of the academic programs would otherwise result.
4. Before a faculty member is terminated because of financial exigency, the affected faculty member is entitled to appear before a sub-committee of the Faculty Council and the Personnel Advisory Committee so that these groups may recommend to the Chancellor whether or not the faculty member should be awarded a teaching appointment in another discipline or appointed to another suitable position within the University.
5. Whenever a faculty member is not reappointed because of financial exigency, the faculty member will receive notice of salary in accordance with the following schedule: at least three months, if the final decision is reached by March 1 of the first year of probationary service; at least six months, if the decision is reached by December 15 of the second year of probationary service; at least one year, if the decision is reached after eighteen months of probationary service or if the faculty member has tenure.
6. If a tenured faculty member is terminated for reasons of financial exigency, the released faculty member's position will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reappointment with tenure at the rank held at the time of termination and has been given at least one month within which to accept or decline the proposed appointment.

### **3.8.4.3 Changes in the Educational Program**

#### Internal Decisions

Termination of a tenured faculty member may occur as a result of the formal discontinuance of a program or department of instruction. The decision to formally discontinue an area of instruction must be recommended by the Executive Vice Chancellor and Provost, the appropriate academic councils, and the Chancellor and be approved by the Board of Trustees. Such decisions will be based upon educational considerations which reflect the

long-range judgment that the educational mission of the University will be enhanced by the change(s) and will not be based upon cyclical or temporary variations in enrollment.

Prior to issuing notice to a faculty member of the University's intention to terminate an appointment because of formal discontinuance of a program or department of instruction, every reasonable effort will be made to place the affected faculty member in another suitable position. If placement in another position is feasible by a reasonable period of formal training, financial and other support for such training will be proffered. In the event no such position is available within the University, as determined by a sub-committee of the Faculty Council and the Personnel Advisory Committee, with or without retraining, then the faculty member will be terminated. Severance salary, up to a maximum of the faculty member's annual salary, will be based upon the length and quality of previous service to the University.

#### External Decisions

In the event an agency of the federal or state government decrees the formal discontinuance of a department or program of instruction, the University will make every effort to attempt to work with the appropriate agency to provide for suitable relocation or adequate compensation if severance becomes necessary.

A faculty member may appeal a proposed relocation or termination resulting from the formal discontinuance of a program by requesting an on-the-record adjudicative hearing by a subcommittee of the Faculty Council. In each such hearing, a determination by the elected faculty members of the Undergraduate Academic Council or Graduate Academic Council that a program or department is to be discontinued will be held presumptively valid. A subcommittee of the Personnel Advisory Committee will submit their recommendations to the Chancellor for a final disposition.

### **3.8.5 Dismissal**

Dismissal is a severance action by which the University ends its professional relationship with a tenured faculty member for adequate cause. Dismissal is also the means by which the University removes for adequate cause a faculty member from service before the end of an appointment.

Adequate cause for dismissal must be directly and substantially related to the fitness of a faculty member to continue in a professional capacity as a teacher. Adequate cause shall include, but is not necessarily limited to, the following:

1. Professional incompetence.
2. Continued neglect of academic duties.
3. Grave personal misconduct.
4. Deliberate and grave violation of the rights and freedoms of fellow faculty members, administrators, or students.
5. Repeated failure to follow the established policies and procedures of the University.
6. Conviction of a felony directly related to the faculty member's fitness to practice his profession.

Prior to a proposed dismissal, the Executive Vice Chancellor and Provost will give the faculty member involved a written statement of reasons, framed with reasonable particularity. Because of the nature of proposed dismissal, no fixed time can be specified for notice; however, such action is usually not taken without prior discussions with and written warnings to the faculty member where such is practicable.

#### **3.8.5.1 Hearings**

Tenured faculty members and probationary faculty members proposed for dismissal before the end of their appointments shall be notified in writing (as outlined in Section 3.8, Policies

and Procedures Relating to Severance). The faculty member, in turn, shall respond in writing within ten class days of receipt of such notice if he/she wishes a hearing. He/she shall then have the opportunity of a hearing before a subcommittee of the Faculty Council.

### **3.8.5.2 Hearing Procedures**

Hearings described in Section 3.8, Policies and Procedures Relating to Severance shall be held before a subcommittee of the Faculty Council. This subcommittee shall consist of five members of the Council mutually agreed upon by the chair of the Council and the affected faculty member. To facilitate mutual agreement, the chair of the Council and the affected faculty member may alternate strikes from the council membership until five members remain. The sub-committee will not be bound by strict legal rules of evidence, but may admit any evidence which is of probative value in determining the issues involved. The faculty member will be permitted an adviser or counsel of his/her own choice, at his/her expense, and will be afforded an opportunity to present witnesses and documentary evidence bearing on the issues involved. Moreover, the faculty member has the right to confront adverse witnesses and will be provided a transcript of the proceeding.

Public statements and publicity about the case are to be avoided by all parties concerned so that an atmosphere conducive to a fair and impartial hearing may be maintained.

A reasonable time shall be set aside to conduct the hearing in order to provide ample time for presentation of all materials by both parties. Pertinent materials should be distributed to the subcommittee at least one week in advance of the scheduled hearing. No non-tenured member of the Faculty Council should be asked to serve on the sub-committee conducting the hearing. A general outline of the order of procedure should be provided by University counsel to the chair of the sub-committee. A list of all involved persons, such as witnesses, will be distributed to the members of the subcommittee at least one week prior to the hearing.

Based upon the evidence presented, the subcommittee will then make such recommendations to the Personnel Advisory Committee in each case as it deems appropriate. The Personnel Advisory Committee will, in turn, review all evidence presented in a case and will forward its recommendations, along with those rendered by the subcommittee conducting a hearing, to the Chancellor. In the event that a subcommittee of the Faculty Council is unable or unwilling to make a recommendation (i.e., majority vote) in an individual case, the faculty member will then be given a formal hearing by the Personnel Advisory Committee.

## **3.9 Faculty Duties and Responsibilities**

Membership in the academic profession carries with it responsibilities for the advancement of knowledge, the intellectual growth of students, and the improvement of society. Each faculty member must order and evaluate his/her activities in terms of his/her commitment to these goals, as well as in terms of his/her own personal and professional development.

Additionally, a member of the faculty of Troy University incurs a special obligation to understand the nature of this institution of higher learning and to appreciate its unique characteristics and its philosophy and objectives. Faculty should desire to be associated with such an institution and should strive to improve the intellectual and practical effectiveness of the University by willing and thoughtful participation in its activities.

As an educational institution, Troy University does not wish to impose a rigid, codified body of rules upon the members of its faculty. The University does, however, have certain legitimate expectations concerning the conduct of professional academicians.

These expectations, briefly summarized below, should be carefully considered along with the official statement of academic freedom and responsibility as defined below:

### **3.9.1 Professional Ethics**

1. A faculty member recognizes the special responsibilities placed upon him/her as he/she seeks to state the truth as he/she sees it. He/she practices intellectual honesty. Although he/she may follow subsidiary interests, such interests must not seriously hamper or compromise the duties of his/her primary employment at the University.
2. A faculty member demonstrates respect for the student as an individual and serves his/her proper role as intellectual guide and counselor. He/she fosters honest academic conduct and assures that his/her evaluation of students reflects merit. Moreover, he/she respects the confidential nature of the student teacher relationship, avoids any exploitation of students, and acknowledges significant assistance from them.
3. A faculty member incurs the obligation to respect and defend the right to free inquiry by his/her colleagues, always demonstrating due respect for the opinions of others. A faculty member acknowledges his/her academic debts, strives to be objective in his/her professional judgment of others, and accepts his/her share of faculty obligations and responsibilities in the daily affairs of the University.
4. A faculty member seeks above all else to be an effective teacher and scholar. As an effective member of the faculty, he/she observes the stated regulations of the University, provided they do not contravene the practice of academic freedom, and maintains his/her right to offer objective criticism to seek revision which will result in improvement for the University.
5. A faculty member who speaks or acts as a private citizen must make it clear that his/her actions or statements are personal and are not sponsored or approved by the faculty or by the University.
6. A faculty member also incurs the obligation to be sensitive to the needs of persons of all races and to work cooperatively to foster and nurture a racially nondiscriminatory environment. Racial harassment will not be tolerated. The University will promptly investigate such allegations and take appropriate action as each individual situation warrants. (See Section 1.6.2)
7. Sexual harassment will also not be tolerated. The University will promptly investigate such allegations and take appropriate action as each individual situation warrants. The University's Sexual Harassment Policy is included in Section 1.6.2. All faculty members bear the obligation to become familiar with this policy.
8. All complaints of any form of harassment will be investigated in the manner set forth in this handbook.
9. Faculty members should be guided by the ethical considerations of their respective professional organizations.

### **3.9.2 Teaching**

Commitment to outstanding teaching is one of the distinguishing characteristics of public institutions of higher education such as Troy University. Because teaching is considered to be of pre-eminent importance, each faculty member must strive for excellence in the classroom. Such striving presupposes that the dedicated faculty member has a firm command of subject, keeps abreast of new developments, carefully selects teaching strategies that are suitable to each course and facilitates the learning process, works to communicate effectively, and encourages questions and informed opposing views.

#### **3.9.2.1 Teaching Load**

A complete statement on workloads is contained in Section 3.9.5, Faculty Workload.

### **3.9.2.2 Course Offerings**

Departmental course offerings should be in accord with both the general requirements of the University and the needs of the departmental majors and the general student body. Each academic department or unit will establish a curriculum committee (unless in small departments the faculty as a whole is so designated) to monitor and review departmental courses, majors and programs. Proposed curriculum changes should be presented to the departmental faculty for a vote, and recommended additions, deletions, or revisions should be forwarded through the curriculum committee of the school or college prior to submission to the General Studies Council, the Academic Council, or the Graduate Council (as appropriate). Such proposals must conform to the guidelines and dates for submission established by the respective councils.

### **3.9.2.3 Faculty Schedules**

The schedule of each faculty member is arranged by the department chair, always keeping in mind the needs of the students and of the University. The department schedule is subject to review by the associate dean, dean and the Executive Vice Chancellor and Provost.

### **3.9.2.4 Course Content**

Departments offering on a regular basis multiple sections of general studies courses and other required courses must in those courses abide by syllabi that cover the same course content, textbooks and other required materials. Courses should be designed to reflect the course description in the current Catalog and the syllabi approved by the State of Alabama Articulation and General Studies Committee (AGSC). Topics included in the syllabi, approved by the AGSC, should be given proper emphasis in the course.

In single offerings of upper-level courses, the instructor is responsible for planning and presenting the course material, conveying to students the course objectives and requirements that have been approved by the department, selecting texts (within departmental/college guidelines) and other required materials, placing an order for texts and other required materials in accordance with department and University policy, preparing, administering, and grading papers and examinations, and assigning grades.

### **3.9.2.5 Classes**

Faculty members are expected to meet their classes punctually and to conduct them at a level appropriate to the level of instruction at which they are offered. If, for some valid reason, the instructor cannot meet a class, he or she should inform the department chair.

### **3.9.2.6 Attendance Policy**

In registering for classes at the University, undergraduate and graduate students accept responsibility for attending scheduled class meetings, completing assignments on time, and contributing to class discussion and exploration of ideas. If a student does not attend class during the first two weeks (first 14 calendar days) of the semester or the first week (7 days) of a term or session, and does not give prior notification to the instructor of reasons for absence and intent to attend the class, the student will be required to drop the course. It is the responsibility of the student to drop the course or to withdraw from the University according to University policy.

A faculty member may excuse absences and allow students to make up work if the faculty member deems the absence legitimate. A faculty member is not expected to provide make-up opportunities for a student without a legitimate excuse. Official excuses are granted by the office of the Executive Vice Chancellor and Provost for authorized University activities and must be honored by the faculty.

Students receiving financial aid benefits are required to attend classes according to the regulations for financial aid benefits in addition to those regulations required for the course. (See the Oracle.)

**Inclement Weather and Emergency Situations:** Both faculty and students are responsible for meeting all assigned classes. In the event of inclement weather, faculty and students will be expected to attend classes as usual as long as they may do so without risking peril to themselves or to others. During periods of inclement weather, faculty and students will not be penalized for absences dictated by perilous conditions. In severe cases of inclement weather or other emergency conditions, the University will announce cancellation of classes through the local and regional media as well as through the University's web site and by cell phone text messages, as appropriate, using the Troy University Emergency SOS System. The cancellation announcement may be specific to Alabama campuses or national or international sites across the University.

### 3.9.2.7 Examinations

The University requires that a final examination be administered in every course. The final examination must be administered during the official examination period in accordance with the campus or site academic calendar. Waiver of the final examination or permission to take exams early require the approval of the department chair, associate dean and the dean. Students may be allowed to alter their examination schedules for the following reasons only:

- Any student having more than three final examinations in the same day may, with the approval of the department chair, make arrangements with the instructor to take the fourth examination during the "special examination period" of each term of the academic year.
- Students who have been officially excused from class for the purpose of representing the institution may secure permission to take final examinations in advance of that scheduled date.
- Students who have a military obligation (e.g., induction, summer camp or Reserve activation) may secure permission to take final examinations in advance of the scheduled date. In the latter two instances above, written permission must be obtained in advance from the department chair, associate dean or dean.

NOTE: Examination dates may vary with University College locations.

### 3.9.2.8 Course Syllabi

Faculty members must prepare for each course a comprehensive syllabus, and insofar as possible, adhere rigidly to all times, dates and deadlines. Course syllabi should be available for each student at the initial meeting of the term. Capricious and arbitrary changes in requirements, assignments and grading weights are not permissible. In other words, faculty should inform students at the outset of a course how grades will be calculated; what tests, papers, laboratory assignments, or other requirements will be used; and how these and any other criteria will be weighted. Also, faculty members must strive to make certain that all courses are accurately described, that all syllabi are current, and that grading is done fairly and in a timely fashion. Both students and faculty benefit when course syllabi are carefully prepared and scrupulously followed.

Essential elements of a course syllabus include, but are not necessarily limited, to the following:

1. Title of course.
2. Number of course (including section).
3. Term of course (e.g., fall, spring).



4. Instructor of course.
5. Pre-requisite course(s).
6. Office hours of instructor.
7. Time of class (including days).
8. Classroom location.
9. Office location and e-mail address.
10. Office Telephone.
11. Course description and objectives (Consistent with the University's Mission Statement and accreditation).
12. Text(s).
13. Other materials (e.g., Scantron forms, computer diskettes, art supplies, etc.).
14. Grading methods and weights of the criteria (including make-up examination policy and mid-term grade reports).
15. Class procedure (i.e., lecture, laboratory, lecture/discussion, etc.) and course requirements.
16. General supports (i.e., Computer Works, Writing Center, tutorial lab, etc.).
17. Daily assignments indicating deadline for adding or dropping a course, holidays, open dates, dead day, final examination, etc.
18. The Troy University ADA Statement, as shown below:

Troy University supports Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990, which insure that postsecondary students with disabilities have equal access to all academic programs, physical access to all buildings, facilities and events, and are not discriminated against on the basis of disability. Eligible students, with appropriate documentation, will be provided equal opportunity to demonstrate their academic skills and potential through the provision of academic adaptations and reasonable accommodations. Further information, including appropriate contact information, can be found at the link for Troy University's Office of Human Resources at <http://www.troy.edu/humanresources/ADAPolicy2003.htm>

19. Cell phone and other electronic device statement, as shown below:

Use of any electronic device by students in the instructional environment is prohibited unless explicitly approved on a case-by-case basis by the instructor of record or by the Office of Disability Services in collaboration with the instructor. Cellular phones, pagers, and other communication devices may be used for emergencies, however, but sending or receiving non-emergency messages is forbidden by the University. Particularly, use of a communication device to violate the Troy University "Standards of Conduct" will result in appropriate disciplinary action (See the *Oracle*.)

In order to receive emergency messages from the University or family members, the call receipt indicator on devices must be in the vibration mode or other unobtrusive mode of indication. Students receiving calls that they believe to be emergency calls must answer quietly without disturbing the teaching environment. If the call is an emergency, they must move unobtrusively and quietly from the instructional area and notify the instructor as soon as reasonably possible. Students who are expecting an emergency call should inform the instructor before the start of the instructional period.

20. Additional services / statements

Include course-appropriate services and statements such as the e-mail policy

## 21. Attendance / absence policy

Consult the Undergraduate or Graduate Catalog for additional information.

## 22. Incomplete work policy

Consult the Undergraduate or Graduate Catalog for additional information.

## 23. Academic misconduct statement, including a statement regarding plagiarism and use of detection software. Consult the student handbook, the Oracle, for additional information.

## 24. Other pertinent information relating to specialization requirements (e.g. certification or licensure, teacher competencies, etc.)

### 3.9.2.9 Grades

#### Assignment of Grades

##### **Regular Grades**

The instructor of record bears the responsibility for assigning all final grades in every class. In team-taught courses, the course facilitator or lead teacher bears the responsibility for securing evaluations from the other team members, incorporating these into the final grade, and assigning the final grade. Likewise, the instructor of record for practicums, directed field experiences, internships, consortia courses, and similar offerings assumes the responsibility for assigning the final grade for such activities.

##### **Incomplete Grades**

See the Undergraduate or Graduate Catalog for incomplete grade policies.

Whenever a faculty member assigns the grade of incomplete (I), the faculty member must file with the department chair the following information:

1. A copy of the course syllabus.
2. Description of the work to be completed.
3. The grading weights of the material completed.
4. The grading weights of the material to be completed.
5. The method of computing the final grade.
6. The grading key (if applicable) for the work to be completed.
7. Any special or mitigating circumstances.

If the faculty member who assigns the incomplete grade will be unavailable to process the removal of an incomplete grade during the requisite time frame, the department chair may then assign a knowledgeable colleague or a member of the department, college, or school the responsibility for removing the incomplete grade in the absence (i.e., leave, illness, severance, etc.) of the instructor of record. Otherwise, the instructor of record bears the responsibility for removing the incomplete grade in a timely fashion.

##### **Grade Appeals**

Faculty members have the authority to grade student work and to assign grades; these are academic judgments. A faculty member's syllabus enumerates student academic performance expectations and consequences. Faculty members render academic judgments when a student's academic performance violates established standards or fails to meet stated expectations. Academic judgments, made by faculty, are based on academic content, course requirements, and student performance. Students may not appeal grades based on allegations concerning the competence of a faculty member, the

fairness of examinations, the difficulty of a course, or other matters of a purely academic nature. Grades for individual assignments and exams may not be appealed. While it is recognized that faculty hold the right and responsibility to grant a grade, a student who receives a course grade that he or she believes to be unwarranted for reasons other than those listed above may appeal that grade using these stated procedures.

**Step 1.** Within the first four weeks of the start of the following term or semester in which the grade is received, the student shall have informally appealed the grade to the instructor. If that instructor is not teaching at Troy University during the term following issuance of the grade, the student will make contact with the instructor through the department chair to informally appeal the grade. In the case of a course taught through University College or eCampus, students should contact their home campus to determine the person designated by the appropriate college dean to assist the students with their appeals.

**Step 2.** If the issue is not resolved at this informal level and the student wishes to pursue the appeal, the student shall request in writing a meeting with the respective department chair. This request shall be addressed to the department chair and shall be received no later than the end of the fifth week of instruction for the term or semester following issuance of the grade. The request must summarize the student's complaint and the student's informal appeal to the instructor. In the case of a course taught through University College or eCampus, students should contact their home campus to determine the person designated by the appropriate college dean to assist the students with their appeals.

**Step 3.** Within two weeks of receipt of the request, the department chair shall discuss the appeal with the student and with the instructor, separately or at the same time. If the department chair upholds the decision, the matter is closed. The decision is final.

**Step 4.** If the department chair does not support the decision of the instructor, the matter shall be appealed within two weeks of the department chair's decision to the designated associate dean or dean of the college. The department chair will forward the appeal package to the designated associate dean or dean. The designated associate dean or dean will empanel three full-time faculty colleagues from the department and/or discipline to review the matter. *The decision of this panel shall be final and binding on all parties.*

**Note:** Students may not use this procedure to appeal grades resulting from violations of academic honesty. Students should refer to the Oracle, the University's official student handbook for those appeals.

### **3.9.2.10 Classes by Special Arrangement**

Faculty members may offer special studies, such as special honors programs or special topics not listed regularly in the Catalog. Approval must originate with the department chair before being presented to the curriculum committee of the school or college or being considered by the Undergraduate Academic Council or Graduate Academic Council.

### **3.9.2.11 Textbook Centers/Bookstores**

The primary purpose of the University bookstores is to supply for sale all textbooks and supplemental materials used in University courses. The private sale of such instructional materials by faculty members is not permitted. It is the responsibility of the individual faculty member to observe all departmental and University policies and procedures in the ordering, inventory, and disposal of textbooks and supplemental materials.

### **3.9.2.12 Special Fees**

Special fees to defray the cost of renting or purchasing teaching aids or equipment must be approved by the department chair, the associate dean, the dean, the Executive Vice Chancellor and Provost, and the Senior Vice Chancellor for Financial and Business, and must be announced in the semester schedule and in the course syllabus described in Section 3.9.2.2, Course Offerings. The student pays these fees through the business office. Fees may not be collected by the instructor. The amount of fees as well as the means for identification and disbursement of such fees must be arranged for in advance with the Senior Vice Chancellor for Finance and Business.

### **3.9.2.13 Deadlines**

Each faculty member is responsible for meeting the appropriate deadlines established by the department chair, the associate dean, the dean, the Executive Vice Chancellor and Provost, the office of Academic Records, Information Technology Management, Creative Services, textbook centers, University bookstores, standing and ad hoc committees, and deadlines specified in this Faculty Handbook.

## **3.9.3 Student Advising**

Because a basic objective of Troy University is to assist each student to develop his/her interests and aptitudes in order to realize full personal and professional potential, the University places special emphasis upon the role of its faculty in the academic advising of students. All full-time faculty members are expected to advise students correctly in their scheduling and academic endeavors.

### **3.9.3.1 Definitions**

Although there are other offices which provide specialized counseling (such as Counseling Services, the Career Development Center, and the Placement Office) to which the student may be directed for professional assistance, the faculty member has a special and unique role that may take three forms:

1. Advising of the student with regard to the student's work in classes taught by the faculty member.
2. Serving as a departmental adviser in the student's major area to assist the student in setting academic goals and to ensure that departmental and University requirements are met and understood by the student and that electives are planned to coincide with the student's personal and career objectives.
3. Recognizing when the student needs assistance to remediate academic skills deficiencies and directing the student to the appropriate office or person from whom such assistance is available, and referring requests for assistance with problems of a personal nature to the appropriate office or person.

### **3.9.3.2 Faculty Availability**

It is considered imperative that each student have sufficient opportunity to see faculty members.

#### **3.9.3.2.1 Hours on Campus**

The University recognizes that dedicated scholars and researchers must on occasion be absent from campus pursuing justifiable personal and professional activities. However, full-time faculty members are normally expected to be at the campus or site during a portion of every day when their classes are scheduled and during normal business hours for the campus/site as needed for departmental or University

assignments. The department supervisor at each campus/site will work with faculty members to determine the hours that best support the students and assist with departmental mission needs.

#### 3.9.3.2.2 Office Hours

Each faculty member should establish regular and adequate office hours distributed throughout the week as to be of maximum convenience to the students in accordance with departmental, college or site policies. Additional office hours are normally needed during registration and examination periods. Established office hours and procedures for appointments must be brought to the attention of the students and a copy filed with the department chair.

Full-time faculty should refer to Section 3.3.5, Appointment of Summer and Interim Session Faculty for policies governing office hours for summer and interim sessions.

Adjunct faculty are responsible for a reasonable amount of time for counseling students regarding course work and other course requirements.

#### 3.9.3.2.3 Students' Coursework

Academic work submitted by students in partial completion of course requirements (reports, photography, electronic discs) remain the property of the student. Student permission must be granted if faculty members decide that student work may be used in other venues. Further, in all cases, when students request return of their previously submitted coursework, faculty members should comply with such requests in a timely manner.

### **3.9.4 Faculty Service**

Faculty participation in the activities of Troy University is critical to its ongoing success.

The University must necessarily depend upon its faculty for quality services rendered outside the classroom. Consequently, a faculty member may reasonably be expected to demonstrate active participation in the various operational concerns of the institution, which may include, but not necessarily be limited to, the following:

1. Service on departmental, school, or college committees and participation in the decision-making and curriculum development process.
2. Service to and participation in the business of the regular faculty and the fulfillment of faculty citizenry activities.
3. Service on and participation in University-wide standing committees and councils.
4. Service as a sponsor of or adviser to student groups and activities.
5. Fulfillment of designated special assignments (i.e., administrative assignments, recruitment, accreditation studies).
6. Service to the community and region.
7. Service to academic and professional disciplines.

For specific discussions of the types of service which the University expects of its faculty and which are necessary for advancement in rank, see Section 3.4.4, Service.

### **3.9.5 Faculty Workload**

Troy University desires, insofar as possible, to practice equity in the distribution of assignments. An unduly heavy workload can impair an instructor's effectiveness in class and laboratory and in student advising. An unduly light load deprives the University of services that should be rendered by a full-time teacher and inflicts an unjust burden upon other faculty members. Because any adequate

definition of faculty workload should take into account the whole spectrum of a faculty member's commitment to professional growth, development and service, it is difficult to establish a policy which applies to all departments or even to all members of a given department. Nevertheless, policies can be stated which are both reasonable and sufficiently flexible to allow the faculty and the University to cooperate in efficient and effective assignments.

### **3.9.5.1 Academic Work Year**

The academic work year begins August 1 and ends on May 31 for full-time faculty holding ten-month contracts. Faculty members are expected to be on campus to assume their faculty duties throughout this time period, except for the University's scheduled holidays and vacation periods.

### **3.9.5.2 Teaching Load**

A measurable portion of the faculty workload is the teaching load. At Troy University, the teaching load is defined in terms of department or school or college teaching credit hours. Under normal circumstances, most academic units will have 24 teaching credit hours per full-time faculty member per annual academic year (12 hours per semester for a ten-month contract). Variations may occur for faculty members holding a twelve-month contract and for faculty assigned to terms other than one fall and one spring semester. For additional specific information regarding teaching loads and course overloads, faculty should contact the dean or associate dean of the college.

To assign teaching credit hours equitably and to assess the teaching load of individual faculty members, the following variables will be taken into account by the department chair, associate dean, dean, and the Executive Vice Chancellor and Provost: the number of students taught; the number of class preparations; non-teaching responsibilities and assignments; service to the department, school, college, or University; involvement in professional activities; and release time for external grants and contracts.

If enrollment for a lower-level course (0090 through 2299) is fewer than fifteen students, or for an upper-level course (3000 through 4999) fewer than nine students, or for a graduate-level course (5000 through 7999) fewer than six students, the course will not be taught unless the department chair, associate dean and dean or the dean's designee deem it necessary. Faculty members are normally restricted to a maximum of six special or independent studies in any given term.

If, during the regular academic year, a department chair requests and the faculty member voluntarily agrees to a teaching overload, the University will compensate the faculty member. Such compensation will be determined by the Executive Vice Chancellor and Provost and agreed to as a supplemental contract by the faculty member in advance of teaching the overload; or, the faculty member may accept a proportionately reduced teaching load in a subsequent term of the academic year. Such an overload normally may not exceed accreditation guidelines and requirements, except in emergency situations as approved by the Executive Vice Chancellor and Provost.

A faculty member may request a teaching overload without compensation. The department chair, associate dean, dean, and the Executive Vice Chancellor and Provost must approve the request; no such overload should exceed three teaching credit hours per academic year.

As a regular part of the teaching load, a faculty member may normally be assigned not more than three undergraduate classes or two graduate classes at off-campus locations during a term. Exceptions must be justified and mutually agreed to by the faculty member, associate dean and the dean and must be approved by the Executive Vice Chancellor and Provost.

### **3.9.5.3 Non-Teaching Load**

Because it is virtually impossible to measure the non-teaching portion of the faculty workload, the University endeavors to assign non-teaching duties equitably but at the same time considers the uniqueness of disciplines and programs. For example, service as a department chair, director, associate dean or dean obligates an individual to a much greater non-teaching load than does service as a full-time faculty member. As a result, department chairs, associate deans, deans, and directors as well as faculty members holding a combined faculty and administrative appointment (as defined in Section 3.2.6, Administrative Officers) teach on a reduced basis. This basis is determined by the complexity of the assignment. For example, the chair of a very small department should expect to teach a greater load than should the chair of a large, complex department. In this manner, non-teaching obligations more realistically approximate equivalency of teaching obligations.

The procedures for seeking a reduction in teaching load are explained in Section 3.9.5.4, Reduction in Teaching Load.

### **3.9.5.4 Reduction in Teaching Load**

Heavier-than-normal involvement in non-teaching activities, when requested by the University, shall require an adjustment in a faculty member's workload, including, if necessary, a temporary or permanent reduction in teaching hours. The University's request for such involvement by a faculty member must be agreed to by the faculty member and the department chair. The request for a reduction in teaching load may then be initiated by the faculty member or by the department chair. The request will be acted upon by the Executive Vice Chancellor and Provost in consultation with the faculty member, the department chair, associate dean, dean, and, if appropriate, the administrative officer who will supervise the faculty member's administrative duties.

## **3.9.6 Professional Growth and Development**

It is the essence of the faculty member's position that he/she is considered an expert and competent professional in his/her field. It is incumbent on each faculty member, however, to maintain his/her competence by keeping abreast of the developments in his/her own field and in other fields related to his/her own. There are various ways of maintaining growth and development, and each faculty member must find appropriate ones. Reading current books, monographs, and professional journals are obvious ways of improving. Other possibilities include assisting the library in improving its collection in one's own field, occasionally teaching courses in another university's summer session, traveling, and taking post-doctoral or other courses. Research and consulting are yet other avenues for growth, as are securing and administering external grants and contracts.

Continued growth and development help keep the faculty member concerned about the vitality of courses and should be evidenced in the content of his/her courses and the quality of his/her teaching. Moreover, the faculty member who is aware of new developments in his/her area is better able to assist colleagues in curriculum development and improvement.

Each faculty member is expected to provide current professional development activity documentation for his/her personnel file.

### **3.9.6.1 Research**

Research, as defined in Section 3.4.5, Research and Creative Work, is considered important, and a reasonable amount of time should be devoted to it. Troy University recognizes that in higher education both teaching and research are essential to a vigorous institution and a sound curriculum. However, as a teaching institution, Troy University places greater emphasis on the teaching function than on the research function.

Troy University also recognizes that every research investigation does not necessarily result in publishable material. The results of scholarly research can be shared with the academic community not only in writing and publication, but also by oral presentation at professional groups, both on or off campus. Nevertheless, publication, wherever appropriate and possible, is encouraged and recognized.

### **3.9.6.2 Copyright and Patent Policy**

The University's Patent Policy is included in Section 1.6.10 and the Copyright Policy in Section 1.6.11. Appendix A defines the University's Information Technology Usage Policy.

Under Section 107 of the Copyright Act of 1976, the doctrine of "fair use" permits some reproduction of copyrighted works for educational purposes without the permission of the copyright owner. The doctrine of "fair use" is subject to limitations. Neither the statute nor judicial decisions, however, provide specific practical guidance on what reproduction constitutes fair use. Consequently, faculty members should consult one or more of several documents which contain practical counsel for the reproduction of copyright materials. The reference department of University Libraries will also offer suggestions and advice.

Each faculty member bears the responsibility for determining whether permission must be obtained prior to reproducing a copyrighted work.

The duplication of computer software by University personnel is limited to that which is explicitly allowed by the software vendor.

### **3.9.6.3 Consulting**

There are opportunities for performing consulting work in several fields. Within reasonable limits, this kind of pursuit may provide valuable experience for the faculty member and thereby promote professional growth and development. The work done, however, must be of a professional character commensurate with the individual's capabilities, experience, and status. Insofar as consulting work is most often akin to outside employment, the faculty member is bound by the strictures set forth in Section 3.9.8, Outside Employment and/or Business Interests. One should not expect any reduction in load for engaging in consulting work unless the work is for Troy University, or such arrangements have been previously agreed to in writing by the faculty member, the department chair, the associate dean, the dean, and the Executive Vice Chancellor and Provost.

## **3.9.7 Political Activity**

### Application of Rule

This rule and any guidelines which may be promulgated hereunder apply to all administrative officers, faculty, staff or other employees of Troy University.

### Policy

The Board of Trustees (hereinafter referred to as the Board) hereby reaffirms its historic position that the institution shall neither endorse nor support any candidate for nomination or election to any public office of the State of Alabama or any other political entity. Employees of the University do not surrender their civil and political rights and responsibilities, however, by virtue of their employment. Indeed, the Board encourages the officials and employees of the University to fulfill their civic responsibilities as private citizens. But the Board shall continue to require that, consistent with state law, no University employee shall use or permit to be used University resources, time or property for or on behalf of any political candidate, campaign or organization, or for any contribution or solicitation of any contribution to a political campaign or organization; nor shall any University employee lend or appear to lend the support of the University in connection with any contribution or solicitation of any contribution to a political campaign or organization. (Nothing in this rule is intended to discourage the impartial use of University facilities as a public forum, however.)



The Board of Trustees recognizes that it is often difficult for the public to distinguish between the public and private activities of University employees, particularly when those employees occupy senior administrative positions within the institution. For that reason and because the University is a public institution, the Board wishes to guard against those actions that are illegal and improper as well as those that may create the appearance of impropriety. It is incumbent upon employees of the University to make clear in any political activity whatsoever that they are acting in a private and individual capacity and that their activities have neither University sponsorship nor support. It is also incumbent upon employees of the University to avoid any private actions of a collective nature that may lend or appear to lend the support of the University to political activity. Because of their prominent identification with the institution, the major administrative officers of the University have a particularly heavy obligation to ensure that their activities are not misinterpreted or misunderstood.

No University employee may seek or hold public office and remain in the employ of the University if such activities could or would result in a conflict of interest or interfere with the employee's carrying out University responsibilities. University employees who intend to seek election to public office must first obtain written consent from the Chancellor through appropriate reporting channels. In cases where the workload of the employee is the primary concern, leaves of absence during periods of running for office or serving in public office may be considered.

#### Report to the Chancellor

If there exists a reasonable question whether a potential activity of the University employee is consistent with the policy of the Board on political activities of University personnel, the employee shall report the proposed activity to the Chancellor for approval through appropriate channels.

### **3.9.8 Outside Employment and/or Business Interests**

Because the regular faculty member is considered a full-time professional at Troy University, his/her first duties are to the University community. Outside employment, business interests, or consulting activities must not diminish a faculty member's effectiveness as a member of the University faculty; these activities must be clearly subordinate to the individual's teaching, advising, and University service functions and must be held to a minimum during the academic year.

The Alabama Ethics Commission, in Advisory Opinion #95-113, stipulated that, as public employees, faculty members may accept outside employment and/or business interests, provided that there is no use of public property, time, labor, equipment and materials; and further that the faculty member did not use his/her position to obtain the employment, and the secondary employment does not conflict with public employment.

The University expects that a full-time faculty member who desires to establish an outside employment relationship or business interest during the regular academic year will secure the written approval of the department chair, the associate dean, the dean, and the Executive Vice Chancellor and Provost if the aggregate time entailed will amount to more than the equivalent of one normal working day per week over an academic term. Because departmental and University needs may change, it is necessary to have such approval renewed each academic year.

These restrictions apply during the summer if, and only if, a faculty member teaches a full-time equivalent load during the summer term. These restrictions are not intended to restrain a faculty member from delivering occasional lectures at other institutions. However, a full-time faculty member should not accept more than one adjunct contract during an academic year for another institution, and approval by the chair, associate dean, dean, and Executive Vice Chancellor and Provost is required in advance.

### **3.9.9 Adherence to University Regulations**

The responsibility to adhere to University regulations is self-evident. An organization can operate effectively and consistently only if it has policies and rules to guide it and its members.

The material in this Faculty Handbook, including that contained in this section on Faculty Duties and Responsibilities, is intended as an attempt to enhance freedom, stimulate enthusiasm, and promote loyalty to the University's objectives rather than as an attempt to impose restrictions.

This Faculty Handbook and especially this section on Faculty Duties and Responsibilities represent an attempt to summarize those regulations pertaining directly to the faculty. Any new or amended policies developed between this edition of the Faculty Handbook and its next revision will be added to this edition as textual changes or appendices. Each faculty member has a responsibility to know these regulations and to make every reasonable effort to adhere to them. If questions of interpretation arise, clarification should be sought from the appropriate individual or group within the University. Any exceptions mutually agreed to should be in writing and signed by all parties concerned.

Such a change in policy will follow steps outlined in the Troy University e-Policy Manual and be included in the section on recent changes in that manual. The Faculty Handbook database and hard copies will be updated as needed.

### **3.10 Faculty Rights and Privileges**

#### **3.10.1 Academic Freedom**

Troy University affirms and is guided by the ideal that all members of the faculty, whether tenured or not, are entitled to academic freedom as set forth in the 1971 Statement of Academic Freedom and Responsibility formulated by the American Association of State Colleges and Universities:

Academic freedom is the right of members of the academic community freely to study, discuss, investigate, teach, conduct research, publish, or administer as appropriate to their respective roles and responsibilities. It is the responsibility of administrators to protect and assure these rights within the governing framework of the institution. The teacher is entitled to freedom in the classroom in discussing his/her subject, but he or she should be careful to present the various scholarly views related to the subject and to avoid introducing into his/her teaching controversial or other matter which has no direct relation to his/her subject. The teacher is entitled to full freedom in research and in the publication of the results there from, subject to the adequate performance of other academic duties.

However, academic freedom should be distinguished clearly from constitutional freedom, which all citizens enjoy equally under the law. Academic freedom is an additional assurance to those who teach and pursue knowledge, and, thus, properly should be restricted to rights of expression pertaining to teaching and research within areas of recognized professional competencies. Beyond this, expressions by members of the academic community should carry no more weight or protection than that accorded any other citizen under the guarantee of constitutional rights; that is, outside of one's professional field, one must accept the same responsibility which all other individuals bear for their acts and utterances. In these cases, there is and should be no guaranteed immunity from possible criticism under the guise of academic freedom; however, when a member of the academic community speaks or writes as a citizen, he or she should be free from institutional censorship or discipline, but as a person of learning should remember that the public may judge the profession and the institution by his/her utterances, so one should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should indicate that he/she is not an institutional spokesperson.

The concept of academic freedom must be accompanied by an equally demanding concept of academic responsibility. The concern of the institution and its members for academic freedom safeguards must extend equally to requiring responsible service, consistent with the objectives of the institution.

Institutions of higher education are committed to open and rational discussion as a principal means for the clarification of issues and the solution of problems. In the solution of certain difficult

problems, all members of the academic community must take note of their responsibility to society, to the institution, and to each other and must recognize that at times the interests of each may vary and will have to be reconciled. The use of physical force, psychological harassment, or other disruptive acts that interfere with institutional activities, freedom of movement on the campus, or freedom of all members of the academic community to pursue their rightful goals is the antithesis of academic freedom and responsibility. So, also, are acts which, in effect, deny freedom to speak, to be heard, to study, to teach, to administer, and to pursue research. It is incumbent upon each member of the academic community to be acquainted with his/her individual responsibilities, as delineated by appropriate institutional statements.

The universal responsibility of the teaching faculty member is effective teaching. A proper academic climate can be maintained only when members of the academic community meet their fundamental responsibilities regularly, such as preparing for and meeting their assignments, conferring with and advising students, evaluating fairly and reporting promptly student achievement, and participating in group deliberations which contribute to the growth and development of students and the institution. All members of the academic community also have the responsibility to accept those reasonable duties assigned to them within their fields of competency, whether curricular, co-curricular or extra-curricular. Additionally, the concept of "institutional loyalty" still has a proper place within the academic community and imposes the further responsibility on all members of the academic community to attempt, honestly and in good faith, to preserve and defend the institution and goals it espouses, without restricting the right to advocate change.

Administrators must protect, defend and promote academic freedom, must assure that members of the academic community fulfill their responsibilities, and, in addition, must recognize that they have special responsibilities for which they are held accountable—namely, the marshaling of human, physical, and financial resources in order to realize institutional goals.

### **3.10.2 Grievances**

#### **A. Step One: Department Chair/Academic Supervisor**

1. Before a faculty member brings a formal grievance, he/she must attempt to resolve the matter informally.
2. If the faculty member has been unable to resolve the matter informally, he/she may, within six weeks after becoming aware of the grievable event(s), enter a formal grievance in writing with the department chair or immediate supervisor.

#### **B. Step Two: Associate Dean (If there is no associate dean, go to step 3)**

1. If the grievant is not satisfied with the disposition of the grievance at step one, or if no decision has been rendered within ten class days after presentation of the grievance, he/she may file the grievance in writing with the associate dean, with a copy to the department chair and to the academic dean. The grievant must state the exact nature of the grievance and the remedy sought.
2. Within ten class days of the receipt of the written grievance, the associate dean and the grievant shall attempt to arrange a conference in an effort to resolve the grievance. If the associate dean considers it advisable, he/she may request the attendance of the party whose action occasioned the grievance. If he/she so desires, the grievant may include a campus faculty member in this meeting.

### **C. Step Three: Dean**

1. If the grievant is not satisfied with the disposition of the grievance at step two, or if no decision has been rendered within ten class days after presentation of the grievance, he/she may file the grievance in writing with the academic dean, with a copy to the department chair, the associate dean, and to the Executive Vice Chancellor and Provost. The grievant must state the exact nature of the grievance and the remedy sought.
2. Within ten class days of the receipt of the written grievance, the dean (or designee) and the grievant shall attempt to arrange a conference in an effort to resolve the grievance. If the dean considers it advisable, he/she may request the attendance of the party whose action occasioned the grievance. If he/she so desires, the grievant may include a Troy University faculty member in this meeting.

### **D. Step Four: Executive Vice Chancellor and Provost**

1. If the grievant is not satisfied with the disposition of the grievance at step three, or if no decision has been rendered within ten class days, he/she may present the grievance in writing to the Executive Vice Chancellor and Provost, with a copy to the Chancellor of the University and to the chair of the Personnel Advisory Committee.
2. Within ten class days after the receipt of the grievance, the Executive Vice Chancellor and Provost (or designee) and the grievant shall attempt to arrange a conference for the purpose of solving the grievance. If the Executive Vice Chancellor and Provost considers it advisable, he/she may request the attendance of the party whose action occasioned the grievance. If he/she so desires, the grievant may bring a Troy University faculty member to this meeting.

### **E. Step Five: Personnel Advisory Committee**

1. If the grievant is not satisfied with the disposition of the grievance at step four, or if no decision has been rendered within ten class days, he/she may request, in writing, to the Chancellor that the Personnel Advisory Committee consider the grievance.
2. If the Personnel Advisory Committee decides that the grievance does not meet the criteria for a hearing, the grievance is closed.
3. If the Personnel Advisory Committee believes that the grievance has disclosed needed improvements in policies, practices, or procedures in the University, it shall recommend such changes to the Chancellor of the University.
4. If the Personnel Advisory Committee decides that the grievance meets the criteria for a hearing, then the Personnel Advisory Committee will conduct the hearing.

### **F. Miscellaneous**

1. A "grievance" is defined as a complaint by a faculty member that he/she 1) has been denied academic freedom; 2) has been denied due process in consideration for tenure, renewal of contract, or promotion; 3) has been subject to a violation, misinterpretation, or inequitable application of provisions of the Faculty Handbook or of other stated University policies and procedures; and 4) has otherwise been treated unfairly or inequitably.
2. It is important that grievances be processed as rapidly as possible. The number of days indicated at each step shall be considered a maximum, and every effort will be made to expedite the process. The time limits specified may, however, be extended by mutual agreement.
3. A grievant shall have two weeks to respond after each step. If he/she fails to respond by the end of two weeks, the grievance will be considered waived. An involuntary delay such as illness or failure of the mails to deliver shall not be construed as waiving the grievance.

4. If, in the course of processing a grievance, there is a dispute over whether a grievance has been waived, the parties will continue to follow the procedure and the Personnel Advisory Committee will decide whether the grievance has been waived.
5. Copies of the recommendation(s) of the Personnel Advisory Committee shall be sent to the grievant, the Executive Vice Chancellor and Provost, the academic dean, associate dean, and the department chair.
6. The Executive Vice Chancellor and Provost will, upon request, provide the grievant and/or the person whose action occasioned the grievance with the names of faculty members or others who may be of assistance in the preparation and presentation of his/her case in the grievance procedure.

### **3.10.3 Institutional Supports**

#### **3.10.3.1 Office Facilities**

The Executive Vice Chancellor and Provost or his/her representative assigns office space to the various departments and disciplines. The department chair is responsible for making individual office assignments, once the Executive Vice Chancellor and Provost has authorized offices for the department. The department chair also files budget requests on an annual basis to request essential office equipment. Student workers may be assigned or hired from time to time to help with office duties.

#### **3.10.3.2 Clerical Assistance**

General regulations governing clerical services are as follows:

1. The work submitted should have a direct bearing on the faculty member's relationship to his/her University responsibilities.
2. All work will be done on a "first come, first served" basis, except that the departmental work of the department chair always takes precedence.
3. Sufficient time should be allowed for the completion of any work submitted. Although as prompt a service as possible will be provided, no assurance can be given that material will always be ready at a given time.
4. Preparation of manuscripts longer than a normal scholarly article cannot be done.

#### **3.10.3.3 University Libraries**

All Troy University faculty members and their dependents may use the University Libraries under the latest published rules, regulations, and licensing agreements and are invited to avail themselves of its resources and services.

##### **3.10.3.3.1 Borrowing Privileges**

Faculty may borrow items from the general (circulating) collection. Renewal will be granted for an additional period, assuming no holds have been placed by another patron.

Reference materials circulate only in rare circumstances and by special permission of the reference librarian on duty and must be returned promptly. Other library materials circulate for specified periods and must be returned or renewed when due. Payment for lost or damaged items will be required.

Books checked out for two weeks or more may be recalled for the use of another member of the University community and must be returned promptly. It is expected that any material borrowed by a faculty member will be returned when it is no longer in active use in order to provide greater utilization of the library resources.

Faculty members who lend materials checked out in their own names to students or other persons retain responsibility for the safe and prompt return of the materials. Faculty dependents may check materials out under the same regulations that pertain to University students. Due dates must be observed and fines will be levied.

#### **3.10.3.3.2 Inter-library Loan/Document Delivery**

Faculty may request that materials be sought and borrowed from other library collections worldwide under prevailing copyright and statewide and regional protocols. Journal articles are normally photocopied and made available by the lending library. Lending charges for books or photocopied articles will be the responsibility of the requesting faculty member. Charges are authorized by the requesting faculty member prior to the transaction of the loan. Materials borrowed from other libraries are due on the designated date and must be returned promptly to maintain the interlibrary loan privilege for the future, since other libraries may deny this service on the basis of a record of abuse.

The University Libraries utilize a number of document delivery services for rapid delivery of journal articles, patents, standards, and other materials. Incurred charges for items requested through these services are the responsibility of the borrower, who will be apprised of likely costs prior to transaction of the request.

#### **3.10.3.3.3 Borrowing Privileges at Other Academic Libraries**

Other academic libraries may extend borrowing privileges directly to University faculty members upon presentation of appropriate identification. Faculty members granted borrowing privileges at other academic libraries are subject to all the rules and regulations of the lending library, including fines and payment for lost or damaged items. Further information is available from the reference department of the University Libraries.

#### **3.10.3.3.4 Orientation and Instruction**

Library orientation and instruction in print and electronic library and information resources is provided by the University Libraries reference departments and available to individual faculty members, faculty groups, and classes. Classes are normally scheduled early in each semester. Faculty members should contact the reference department for information and scheduling.

#### **3.10.3.3.5 Course Reserves**

Faculty may place items on course reserve for specified periods of time and under prevailing copyright law governing course reserves. Faculty members should contact the circulation department for information on placing items on print or electronic reserve.

#### **3.10.3.3.6 Resource and Information Services**

Answers to simple factual or informational inquiries may be obtained by telephone or live chat from the reference librarian on duty. More extensive reference and research services should be arranged through the reference department.

#### **3.10.3.3.7 Electronic and On-line Database Access**

The University Library has access to a great variety of on-line databases, which are accessible to faculty and students.

#### **3.10.3.3.8 Photocopying**

Photocopies for personal or professional use may be made on the University Library's self-service photocopy machines at prevailing per-page charges and in accordance with copyright law.

#### **3.10.3.3.9 Instructional and Office Materials**

Each department is provided with a budget for instructional and office materials. Orders for materials not available on the campus must be made through normal purchase requisition channels. Independent purchases through off-campus vendors are not authorized.

#### **3.10.3.3.10 University Computers and Servers**

The University provides University-owned computers and Internet access through institutional servers.

### **3.10.4 Research Supports**

#### **3.10.4.1. Reduced Teaching Load for Research Support**

Any full-time faculty member engaged in a significant research project may request a reduction in teaching load. Such a request should be submitted in writing to the department chair during the first week of the academic term preceding the academic term in which the reduction would begin, if granted. The department chair will evaluate the research proposal and the ability of the department to maintain its course offerings. The recommendations of the department chair, associate dean and the dean will be carefully weighed with the performance of the faculty member when the Executive Vice Chancellor and Provost renders the final decision.

#### **3.10.4.2 Financial Support**

Troy University makes financial assistance for research available through the Faculty Development Committee. Please refer to the publication, Standing Committees of Troy University, for more information.

### **3.10.5 Leaves of Absence**

#### **3.10.5.1 General Information**

The following leave policy applies toward promotion in rank and/or tenure unless applicable federal or state law provides otherwise. (Also see the opening paragraph to Section III of this Handbook.) A sabbatical leave will not count toward promotion in rank and/or tenure, unless the faculty member and Troy University agree in writing to waive this provision at the time the leave is granted. In the event such a waiver is mutually agreed upon, the amount of credit to be granted shall also be specified in writing at the time the leave is granted. A leave of absence with pay for less than an academic year will count toward promotion and/or tenure. A leave of absence without pay will not count toward promotion or tenure unless the faculty member and Troy University agree in writing to the contrary at the time the leave is granted.

#### **3.10.5.2 Sabbatical Leave**

Troy University, recognizing the necessity for faculty members to acquire new experiences to enrich their teaching or to secure uninterrupted time for research and writing, supports the principle of sabbatical leave. The University desires to encourage professional growth and increased competency and productivity among faculty members by subsidizing significant research, creative work, or a program which is judged to be of equivalent value, such as some other program of study, or an organized experiential program, or an exchange of teaching responsibilities with a faculty member at another college or university. Sabbatical leaves are administered by the Faculty Development Committee.

### **3.10.5.3 Sick Leave**

Only full-time faculty members accrue sick leave. Faculty members earn 8 hours of sick leave each month of employment. Sick leave accrual is unlimited. Sick leave taken must be reported to the Office of Human Resources by completing the leave request/report form on the first day of return to work. Unused sick leave may be used for retirement credit according to the policy of the Teachers' Retirement System. Sick leave is a privilege and must not be abused. It is granted for the following reasons:

1. Illness or injury of the faculty member or visits to a doctor or dentist.
2. Care for an ill member of the immediate family (spouse, child, mother, father, brother, sister, grandparent, mother-in-law, father-in-law).
3. Death in the immediate family (as defined above).

A. A doctor's certificate or other proof of illness may be required to verify appropriate use of sick leave. Immediate supervisors should be notified as early as possible prior to sick leave absences. During an extended illness, a faculty member's accumulated sick leave is used until it is exhausted. The faculty member can apply for a leave of absence without pay subject to the Leave Without Pay section. Family Medical Leave Act (FMLA) protection may be requested subject to the provisions of the FMLA section. Sick leave will not be advanced.

B. A faculty member who has experienced an extended absence because of personal or immediate family illness may request sick leave donations. To request donated sick leave hours, a faculty member should notify the immediate supervisor in writing, stating the reason for the request and the estimated number of sick leave hours needed. The written request is forwarded through the supervisor to the Office of Human Resources. The faculty member must exhaust all leave balances prior to receiving donated sick leave hours. A limit of 12 weeks donated sick leave per rolling year is allowed.

C. The University will accept, for retirement purposes only, sick leave earned at other Alabama state agencies which participate in the Retirement Systems of Alabama.

### **3.10.5.4 Maternity Leave**

The University permits faculty members to utilize sick leave, as necessary, for conditions associated with pregnancy and childbirth and related medical conditions. Such leave may be accumulated sick leave and/or FMLA leave. (See the FMLA policy with reference to the concurrent use of University-provided leave and FMLA leave.) Absences related to pregnancy, childbirth, and related medical conditions are treated the same as other illnesses. Medical verification may be required. Expectant employees may continue working as long as they desire, provided they have the consent of their obstetricians. Such written consent may be requested by the University when deemed appropriate. Application for leave should be made as far as practicable in advance of the expected starting date of the leave so that arrangements for a replacement can be accomplished. A leave of absence may be applied for under the Family Medical Leave Act. (Refer to Section 3.10.5.9, Family and Medical Leave)

### **3.10.5.5 Jury Duty**

The University will comply with all applicable federal and state laws governing jury duty.

### **3.10.5.6 Voting**

Faculty members are encouraged to vote in each election. If necessary, time (not to exceed one hour) will be scheduled by supervisors to enable full-time faculty to vote.



### **3.10.5.7 Military Leave**

The University will comply with all applicable state and federal laws governing military leave.

### **3.10.5.8 Leave Without Pay**

Any full-time member of the faculty may request a full-time or part-time leave of absence without pay for one of the following reasons:

- Illness.
- Completion of research.
- Formal study.
- Extended service in the armed services.
- Defense work during an armed conflict or national emergency
- Any program of enrichment approved by the University.
- Assignments or work that is considered to benefit the University.
- Other reasons deemed justifiable by the University. See also the FMLA section of this Faculty Handbook and the e-Policy Manual.

Such leaves must be mutually agreed upon in writing by the faculty member and the University to and shall not ordinarily be for longer than one year, although the University may grant an extended full-time or part-time leave without pay.

Time on such leave will not count toward tenure or promotion in rank and is not credited toward time in service for sabbatical leave unless the individual and the University so agree in writing prior to the beginning of the leave or unless applicable federal or state law provides otherwise. However, the faculty member will not forfeit his/her rank as a result of a leave without pay.

While an individual is on leave without pay, the University does not provide fringe benefits unless a prior arrangement has been mutually agreed to in writing by the faculty member and the University. Faculty members may continue certain fringe benefits, however, by paying them through the University.

Requests for a leave without pay are submitted in writing to the department chair, approved by the chair, associate dean and the academic dean, and forwarded to the Executive Vice Chancellor and Provost not later than December 15 of the academic year preceding that in which the leave is to begin. A final decision on such leaves is made by the Executive Vice Chancellor and Provost in consultation with the department chair, associate dean and the dean.

If a leave without pay is granted, the department normally should be permitted to hire an unranked or extraordinary faculty member for the period of leave.

### **3.10.5.9 Family and Medical Leave**

University faculty and staff are eligible for 12 weeks of unpaid leave within any 12 months period in accordance with the Family and Medical Leave Act of 1993 (FMLA), as follows:

Eligibility for FMLA Leave: To be eligible for FMLA leave, one must (a) have been employed by the University for at least 12 months and (b) have performed at least 1250 hours of service for the University during the 12 months period immediately preceding the commencement of the leave.

The qualifying events for FMLA leave are the following: For the birth of a son or daughter and to care for the newborn child; For placement with the employee of a son or daughter for

adoption or foster care; To care for the employee's spouse, son, daughter, or parent with a serious health condition; and Because of a serious health condition that makes the employee unable to perform the functions of the employee's job.

The form to request FMLA leave is available in and should be obtained from the Office of Human Resources.

Where practicable, one should give 30 calendar days advance notice of the need to take FMLA leave. Where 30 days advance notice is not practicable, individuals should give as much notice as is practicable. These provisions are designed to enable the University to make arrangements for a replacement.

Where leave is requested for an employee's serious health condition or the serious health condition of a spouse, son, daughter, or parent, the form to request FMLA leave will be accompanied by an FMLA form known as Certification of Health Care Provider, which the employee must have completed by the attending health care provider and returned to the Office of Human Resources. A completed and returned Certification of Health Care Provider is required and is a condition to the approval of FMLA leave.

An employee who is required to be absent for more than three (3) consecutive days because of his/her serious health condition should notify his/her supervisor, who in turn will notify the Office of Human Resources to provide the FMLA request form and Certification of Health Care Provider to the employee for his/her use if he or she so desires.

All forms and types of paid and unpaid leave related to an FMLA qualifying absence shall be counted toward an employee's maximum 12 weeks FMLA leave. Therefore, an employee will be required to utilize any University-provided time off concurrently with FMLA leave, with both University-provided time off and FMLA leave being counted toward the 12 weeks FMLA leave. For example, in the case of an employee with 30 days accrued sick days, such first 30 days of sick days will be applied to the maximum of 12 weeks FMLA leave.

Employees on FMLA leave may maintain any existing health care insurance coverage and any existing life insurance coverage by paying the employee share of the premium.

An employee on FMLA leave is entitled to be returned to the same position he or she held when leave commenced, or to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment. A fitness for duty certification from the employee's health care provider may be required by the University.

For purposes of determining eligibility for 12 weeks FMLA leave within any 12 months period, such 12 months period will be measured backward from the date any FMLA leave begins to determine the number of FMLA weeks available.

### **3.10.6 Professional Travel Expenses**

Troy University recognizes that members of its faculty are interested in attending meetings of learned or professional societies as a means of keeping abreast of their fields of teaching and research. Professional development is encouraged by the University's providing financial support for such activities. Funds are budgeted annually by department to support, in accordance with University policy and Alabama law, the professional travel expenses of faculty members. Requests for such funding for professional travel should be submitted to the department chair well in advance of the proposed travel. Faculty members should never request such funding for activities not related to their teaching fields or learned or professional societies. Also, faculty members who request funding for the presentation of a scholarly paper should file a copy of the paper along with the travel request.

For in-state travel requests, faculty members are required to submit an Intent-To-Be-Absent Form far enough in advance of the proposed travel that required approvals may be obtained at least three days prior to planned departure.

For out-of-state travel requests, faculty members are required to submit the Intent-To-Be-Absent Form along with the out-of-state travel request far enough in advance of the proposed travel that required approvals may be obtained at least two weeks prior to planned departure.

### **3.10.7 Faculty Development**

Troy University encourages the professional development of the faculty and provides varied assistance to eligible faculty members through the Faculty Development Committee.

### **3.10.8 Contracts**

Faculty contracts are issued in the spring for the succeeding academic year. Each contract will specify the type of appointment, rank, salary and the term of appointment. In addition, an initial memorandum will set forth any special conditions or considerations as required elsewhere in this Faculty Handbook. A separate contract will be issued for salary supplements paid from grants as well as for fees for consultation services undertaken by the faculty at the University's request.

### **3.10.9 Compensation**

Most full-time faculty members are paid monthly in ten payments for the academic year. However, faculty members may request in writing to have the ten-month salary payable in twelve equal monthly installments. Compensation for the summer term for full-time faculty members is paid in two monthly installments. Part-time faculty members are paid in accordance with the terms stated in their contracts. Faculty will receive payment on the last working day of the month and must participate in the University's Direct Deposit Program to receive their monthly payments.

### **3.10.10 Fringe Benefits**

Because some fringe benefits are optional with the faculty member and because fringe benefits are subject to change, faculty members should consult the Human Resources section of the Troy University Web site for an explanation of available options.

### **3.10.11 Retirement Policy**

A faculty member who retires may continue to be employed on a part-time basis at the request of the department chair, associate dean, dean, or Executive Vice Chancellor and Provost, subject to the approval of the Chancellor. However, compensation for the part-time appointment will be in strict accordance with federal and state laws so as not to jeopardize any individual's retirement benefits. Discussion with the faculty member regarding the possibility of continuing employment on a part-time basis will take place as early as possible. Reappointment of the faculty member for any succeeding academic year should be offered by April 30, subject to the continuation of one's ability to perform adequately the teaching duties assigned. (Refer to Section 3.10.5.3, Sick Leave)

### **3.10.12 Use of Facilities**

Faculty members are permitted to use University facilities, subject to availability and to the policies, procedures, and charges established by the appropriate offices of the University.

## **3.11 Miscellaneous**

Faculty members who desire additional information about other Troy University policies and procedures should consult the e-Policy Manual located on the University web site and/or Academic Operating Procedures (AOPs) within the respective colleges. Questions regarding these policies and procedures should be addressed to department chairs, associate deans or deans.

## **APPENDIX A • Information Technology Usage Policy**

Troy University uses information technology to help students, faculty, and staff accomplish their goals. Information technology also helps the Troy University reach its objectives. This worldwide reliance upon diverse technologies means increased responsibilities and opportunities for everyone throughout the University. The timely and appropriate use of these information technologies will help each person succeed.

Troy University's information technology (computing, information technology, radio and television, telephone, and network resources) is provided to faculty, staff and students for the purposes of study, research, service, and related academic and administrative activities. University information technology facilities are valuable resources and must be used in a responsible manner. These resources are shared among many people. Each person should use technology resources in a manner that allows others to also use information technology.

Use of the Troy information technology is a privilege, not a right. This includes use of computer labs. All users of Troy's information technology resources must agree to use the facilities legally, ethically, and in keeping with their intended purpose.

### **System Integrity**

It is improper to take actions that will interfere with or alter the integrity of the University's information technology systems. Such actions include unauthorized use of accounts, impersonation of other individuals, unauthorized access to or any attempt to alter, share or distribute restricted data bases, attempts to capture or crack passwords, attempts to break encryption protocols, compromising privacy, destruction or alterations of data or programs belonging to other users, experiments to demonstrate computer facility vulnerabilities, and attempts to steal or destroy software on campus computing facilities or computer hardware. These types of actions are improper and can result in a loss of the right to use information technology resources.

Computer accounts and passwords should be protected against unauthorized use. Accounts and passwords should never be shared with anyone. Each computer user has the specific responsibility to protect his/her password. Anyone suspecting his/her password may be compromised should immediately report this to an administrator of the computer facility. This helps protect the integrity of Troy's information technology systems.

Changing another person's password without authorization is considered a form of harassment and is improper behavior.

Users must not browse, access, copy, share, distribute, or change private or administrative files without authorization. Users must not change public files without authorization. Users must not attempt to modify the computer systems or software in any unauthorized manner.

The use of invasive software, such as worms, "crackers," and viruses is unethical, improper, and illegal. No computer user should use his/her knowledge of a computer system to destroy or alter accounts, files, software, or hardware to obtain extra resources or to deprive others of information technology resources.

Users are responsible for damages caused by infected software they introduce into the system.

Hardware, software, network equipment, manuals, supplies and other information technology related equipment, must not be removed from their established site(s) without proper authorization. Abuse or misuse of any computer hardware, software, or other campus related technology including networking resources is illegal and/or unethical behavior.

### **Security Policy**

The office of the Senior Vice Chancellor for Student Services and Administration together with the office of Information Technology are responsible for the coordination and implementation of all information technology security policies and procedures. Troy University endeavors to provide first-class electronic resources to its academic and administrative communities. To maintain stable, reliable electronic

infrastructures, Troy University has outlined the following guidelines concerning the use of all University electronic resources.

1. Users should not use the University's electronic resources in a manner subject to criminal or civil liability.
2. All software must be accompanied by a valid software license.
3. University electronic resources may not be employed for private gain. Alabama Code 36-25-5 (a) and 36-25-27 (a) specifically prohibits personal gain through the use of public resources.
4. All electronic data are considered private and protected. Misuse or manipulation of electronic data is subject to criminal and civil actions.
5. Use of electronic resources in a careless, destructive, defamatory, illegal manner is prohibited.
6. The University reserves the right to limit or stop any electronic activity not in accordance with University policy or state and federal statutes.

### **Copyright Observance**

All users of University-owned computers will abide by copyright laws and licensing agreements. No software should be loaded on any University computer in violation of licenses or laws. Copyrighted software must be used only in accordance with its license or purchase agreement. Users do not have the right to reprint, use unauthorized copies of software, or make or attempt to make unauthorized copies of software.

In addition to federal and state laws prohibiting the theft of software, Troy University prohibits copyright licensing infractions from or on any component of the University's information technology systems. Troy University will not be liable for copyright or licensing infringements by any student or faculty or staff member.

### **Privacy Rights**

Troy University respects every individual's right to privacy in the electronic forum and prohibits use of University computers, including personally owned computers linked via University telecommunications equipment to other systems, from violating such rights. Attempts to read another person's electronic mail, access another's files, access electronic records containing information concerning another person, or use of another person's password are examples of violations of privacy rights.

There are important University concerns that place some legitimate restrictions on the privacy of programs, data files and electronic mail on the University's information technology systems. Instructors may monitor class accounts of students in their courses. Authorized technical personnel may access accounts for the purpose of maintaining computers or network systems. Authorized technical personnel may also monitor accounts and network activity to detect violations of this policy.

### **Courtesy**

Computer accounts should be used for their assigned purposes. For example, an account assigned to a student for a specific course should be used for work related to that course.

All computer and network users engaged in activities not directly connected to study, research, or University related services should willingly yield their computer terminals to others ready to use University computers and networks for their University-related work.

Excessive use of paper, making electronic mass mailings, and using University owned computers and network resources for personal monetary gain are some examples of abuses of Troy information technology facilities.

Certain types of communications are expressly forbidden on Troy's computer systems and networks. This includes the random mailing of messages, the sending of obscene, pornographic, harassing, nuisance, abusive, or threatening material, and the use of the facilities for commercial or political purposes.

University-owned public access computers will not be used for games unless specifically authorized by a faculty member for educational purposes.

**Sanctions**

The University may take disciplinary and/or legal action against any individual who violates any information technology usage policy. Violations of Troy University's information technology usage policy are treated like any other violation of the Standards of Conduct as outlined in the Oracle, Troy's student handbook, and applicable faculty and staff handbooks. Violators may also be billed for illegal use of the computer systems. Any changes caused by misuse may lead to the violator being temporarily or permanently suspended from Troy Technology facilities. Those violating statutory requirements may be prosecuted.

**Liability**

Troy University hereby expressly and explicitly disclaims any liability and/or responsibility for violations of this policy.

# APPENDIX B • Graduate Faculty Membership Checklist

(Submit as part of annual evaluation)

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Discipline \_\_\_\_\_

A current vitae with copies of each item added during the current academic year should accompany the submission of this form for Graduate Faculty membership annually. Submissions for all categories must be within seven years of the application date. Please circle the points and multiply by the number of items submitted within the same category item. (e.g., Two case studies were submitted to a refereed publisher and accepted. Category I: Item 3; 4 X 2 = 8 points.)

Category I Published-Refereed	Number Points Total
1. Periodical/journal article (academic, professional, practitioner)*	4
2. Book/monograph (including dissertation) authored or edited	4
3. Chapter, case, case study, instructional materials or book	4
4. Arrangement/composition (music score/original work in the arts)	4
5. Extramurally funded research grants and contracts	4
6. Patented invention or process	4
7. Other: _____	

Note: Additional points may be awarded for projects of extensive magnitude or considerable merit.

Category II Refereed	
1. Paper in proceedings of state, regional, or international professional conferences	2
2. Paper presented at state, regional, national, or international professional conference	2
3. Book review (published in refereed periodical)	2
4. Teaching material (e.g. published instructor's manual)	2
5. Reviewed artistic works/performance	2
6. Other: _____	

Category III Peer Reviewed	
1. Abstract published in proceedings of state, regional, national, or international professional conferences	1
2. New distance learning course (after 1-1-2000)	1
3. Consulting work product (e.g. report, survey, tests, audit)	1
4. Book or chapter review for textbook publisher	1
5. Adjudication of state, regional, national, international, professional conference	1
6. Moderator/Discussant at state, regional, national, international meeting	1
7. Receipt of awards, fellowship, internal grants, etc. for scholarly or creative projects	1
8. Poster presentation before learned societies	1
9. Clinical or Active practice.	1
10. Other: (e.g. Chair of Thesis Committee) _____	

\*Notes: There will be no distinction between single and multiple-authored publications.  
 - Any items in the "other" category must be approved by the Graduate Dean and the Executive Vice Chancellor and Provost.  
 - Graduate Faculty current as of Aug. 1, 2005 are grandfathered until July 1, 2006.

All items verified by: Department Chair \_\_\_\_\_  
Signature Date  
 Dean \_\_\_\_\_  
Signature Date

<input type="checkbox"/> Qualifies as Graduate Faculty	<input type="checkbox"/> Qualifies as Associate Graduate Faculty
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APPROVED: Graduate Dean \_\_\_\_\_  
Signature Date  
 Executive Vice Chancellor and Provost \_\_\_\_\_  
Signature Date

## **APPENDIX C • Promotion and Tenure Forms**

Form A:	Intent to Apply
Form B:	Review Information Form
Form C:	Candidate Evaluation
Form D:	Tracking Form – Promotion Cycle
Form E:	Tracking Form – Tenure Cycle
Form F:	Chair’s Recommendation Form
Form G:	Elected Members of the College Review Committee
Form H:	College Review Committee Recommendation Form
Form I:	Dean’s Recommendation Form
Form J:	College Summary Sheet for Promotion
Form K:	College Summary Sheet For Tenure
Form L:	Elected Members of the University Review Committee and the Committee on Promotion and Tenure Appeals
Form M:	University Review Committee Recommendation
Form N:	Executive Vice Chancellor/Provost’s Recommendation Form
Form O:	University Summary Sheet for Promotion
Form P:	University Summary Sheet For Tenure



**Form A - PROMOTION AND TENURE / Intent to Apply**

Faculty Member's Name \_\_\_\_\_

Department \_\_\_\_\_

College \_\_\_\_\_

Campus/Site \_\_\_\_\_

Date \_\_\_\_\_

I hereby announce my intention to apply during the \_\_\_\_\_ academic year for:

TENURE

PROMOTION TO THE RANK OF \_\_\_\_\_

I understand that this form must be submitted to my department chairperson by the deadline designated in the published calendar for promotion and tenure process.

\_\_\_\_\_  
*Signature of Candidate*

\_\_\_\_\_  
*Date Received*

\_\_\_\_\_  
*Signature of Chairperson*

**Form B - PROMOTION AND TENURE / Review Information Form**

ACADEMIC YEAR \_\_\_\_\_

**ACTION REQUESTED**

Tenure

Promotion to the rank of \_\_\_\_\_

1. Name of candidate \_\_\_\_\_

2. Department \_\_\_\_\_ 3. Campus/Site \_\_\_\_\_

**4. Present Status:**

Rank \_\_\_\_\_ Years in current rank \_\_\_\_\_

If tenured, year in which tenure was granted \_\_\_\_\_

Effective date of tenure \_\_\_\_\_

5. Total number years of experience at Troy University (including current year) \_\_\_\_\_

6. Total number of years of full-time college level teaching (including current year) \_\_\_\_\_

**7. Degrees earned:**

<b>Degree</b>	<b>Major</b>	<b>School</b>	<b>Year</b>

8. Full-time college level teaching experience other than at Troy University.

School	Department	Rank	Years

9. Other professional experience, including all non-college-level teaching.

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10. Professional certificates:

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11. List below scholarly/creative activities, service, and other relevant activities and/or recognition that occurred prior to the period covered by the attached Faculty Development Plan (use additional page if necessary).

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I affirm that to the best of my knowledge the information that I have provided is accurate. I agree to grant full access to all materials contained in this Portfolio to active members of the College Review Committee and the University Review Committee.

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*Signature of Candidate*

**Form C - PROMOTION AND TENURE / Candidate Evaluation**

Candidate's Name \_\_\_\_\_

Department \_\_\_\_\_ College \_\_\_\_\_

Campus/Site \_\_\_\_\_

Evaluator's professional relationship to candidate \_\_\_\_\_

Action Requested

Tenure

Promotion to the rank of \_\_\_\_\_

I \_\_\_\_\_ waive \_\_\_\_\_ do not my right to view this evaluation.

\_\_\_\_\_

Signature of Candidate

.....  
The above named Troy University faculty member has selected you to provide information about his/her qualifications for tenure and/or promotion, as indicated above. Please provide below (*continue on the reverse side of this form if necessary*) your evaluation of the candidate's qualifications.

Please print or type your name \_\_\_\_\_

Signature \_\_\_\_\_ Position \_\_\_\_\_ Date \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Please mail this form to:

\_\_\_\_\_, Dean, Troy University, Troy, AL 36082

**Form D - PROMOTION AND TENURE / Tracking Form - Promotion Cycle**

Academic Year \_\_\_\_\_

**I. CANDIDATE**

Name \_\_\_\_\_ Department \_\_\_\_\_  
College \_\_\_\_\_ Campus/Site \_\_\_\_\_

**II. ELIGIBILITY**

This candidate is eligible for consideration for promotion to the rank of \_\_\_\_\_.

Approved \_\_\_\_\_  
*Signature of Department Chair*

**III. ACTION**

**DATE**

**1. Action of Faculty Member**

Applied for promotion \_\_\_\_\_

**2. Action of Chair:**

Validated eligibility \_\_\_\_\_

Verified Information \_\_\_\_\_

Submitted portfolio and tracking forms \_\_\_\_\_

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

**3. Action of College Review Committee: (enter voting results)**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_ Abstained \_\_\_\_\_

**4. Action of Dean**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

**5. Action of University Review Committee: (enter voting results)**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_ Abstained \_\_\_\_\_

**6. Action of Executive Vice Chancellor/Provost**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

**7. Action of Chancellor**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

**IV. FINAL DISPOSITION \_\_\_\_\_**

**Form E · PROMOTION AND TENURE / Tracking Form - Tenure Cycle**

Academic Year \_\_\_\_\_

**I. CANDIDATE**

Name \_\_\_\_\_ Department \_\_\_\_\_  
College \_\_\_\_\_ Campus/Site \_\_\_\_\_

**II. ELIGIBILITY**

This candidate is eligible for consideration for tenure \_\_\_\_\_.

Approved \_\_\_\_\_  
*Signature of Department Chair*

**III. ACTION**

**DATE**

**1. Action of Faculty Member**

Applied for tenure \_\_\_\_\_

**2. Action of Chair:**

Validated eligibility \_\_\_\_\_

Verified Information \_\_\_\_\_

Submitted portfolio and tracking forms \_\_\_\_\_

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

**3. Action of College Review Committee: (enter voting results)**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_ Abstained \_\_\_\_\_

**4. Action of Dean**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

**5. Action of University Review Committee: (enter voting results)**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_ Abstained \_\_\_\_\_

**6. Action of Executive Vice Chancellor/Provost**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

**7. Action of Chancellor**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

**IV. FINAL DISPOSITION \_\_\_\_\_**

**Form F · PROMOTION AND TENURE / Chair's Recommendation Form**

Candidate \_\_\_\_\_

Action under consideration:

Academic Year: \_\_\_\_\_

- Tenure
- Promotion

The chair is to evaluate the faculty member in the areas of teaching, scholarly/creative activities, and service. For faculty being considered for tenure, the evaluation should emphasize the time period in his/her tenure-track position at Troy University and any time spent in the tenure-track position at another institution for which he/she received credit toward tenure. For faculty being considered for promotion, the evaluation should cover the time period from the last promotion to the present.

1. Recommendation:

- Approved
- Disapproved

2. Evaluation Remarks:

Signature \_\_\_\_\_ Date \_\_\_\_\_  
*Department Chair*



**Form G · PROMOTION AND TENURE / Elected Members of the College Review Committee**

*The chair should submit this completed form to the dean by the third working day of fall semester.*

The Department of \_\_\_\_\_  
at the following campus/site \_\_\_\_\_  
will be represented by \_\_\_\_\_  
to the College Review Committee for the College of \_\_\_\_\_  
for academic year \_\_\_\_\_.

\_\_\_\_\_  
Signature of Chair

.....

As a member of the Review Committee for the College of \_\_\_\_\_,  
I agree to attend each meeting in its entirety. I understand that only cases of emergency will excuse  
absence from these meetings. I also understand that I must treat information that evaluates another's work  
as confidential.

\_\_\_\_\_  
Signature of Representative

**Form H - PROMOTION AND TENURE / College Review Committee Recommendation Form**

Candidate \_\_\_\_\_

Action under consideration:

Academic Year: \_\_\_\_\_

- Tenure
- Promotion

The College Review Committee is to evaluate the faculty member in the areas of teaching, scholarly/creative activities, and service. For faculty being considered for tenure, the evaluation should emphasize the time period in his/her tenure-track position at Troy University and any time spent in the tenure-track position at another institution for which he/she received credit toward tenure. For faculty being considered for promotion, the evaluation should cover the time period from the last promotion to the present.

1. Recommendation:

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_ Abstained \_\_\_\_\_

2. Remarks: *(In cases involving promotion, include justification for the voting and reflect both the expressed majority and minority positions if the vote is not unanimous.)*

\_\_\_\_\_  
Signature of Representative Date

**Form I - PROMOTION AND TENURE / Dean's Recommendation Form**

Candidate \_\_\_\_\_

Action under consideration:

Academic Year: \_\_\_\_\_

- Tenure
- Promotion

The dean is to evaluate the faculty member in the areas of teaching, scholarly/creative activities, and service. For faculty being considered for tenure, the evaluation should emphasize the time period in his/her tenure-track position at Troy University and any time spent in the tenure-track position at another institution for which he/she received credit toward tenure. For faculty being considered for promotion, the evaluation should cover the time period from the last promotion to the present.

1. Recommendation:

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

2. Evaluation Remarks:

\_\_\_\_\_  
Signature of Dean

\_\_\_\_\_  
Date

**Form J - PROMOTION AND TENURE / College Summary Sheet for Promotion**

<b>COLLEGE SUMMARY SHEET FOR PROMOTION</b>					
COLLEGE OF _____		ACADEMIC YEAR _____			
<i>Candidates</i>	<i>Current Rank</i>	<i>Department</i>	<i>Campus or Site</i>	<i>Approved By</i>	
				<i>CRC</i>	<i>Dean</i>

Form K - PROMOTION AND TENURE / College Summary Sheet for Tenure

COLLEGE SUMMARY SHEET FOR TENURE					
COLLEGE OF _____				ACADEMIC YEAR _____	
Candidates	Current Rank	Department	Campus or Site	Approved By	
				CRC	Dean
List (names only) those denied tenure who will be issued a final contract:					

**Form L - PROMOTION AND TENURE / Elected Members of the University Review Committee & the Committee on Promotion and Tenure Appeals**

*The chair should submit this completed form to the dean by the third working day of fall semester.*

Listed below are the representatives from the College of \_\_\_\_\_  
to the University Review Committee and the Committee on Promotion and Tenure Appeals for the academic  
year \_\_\_\_\_.

URC Representative \_\_\_\_\_  
will be serving his / her \_\_\_\_\_ first \_\_\_\_\_ second term. \_\_\_\_\_

CPTA Representative \_\_\_\_\_

\_\_\_\_\_  
Signature of Dean Date

As a member of the Review Committee for the College of \_\_\_\_\_  
I agree to attend each meeting in its entirety. I understand that only cases of emergency will excuse  
absence from these meetings. I also understand that I must treat information that evaluates another's work  
as confidential.

\_\_\_\_\_  
Signature of Representative Date

**Form M - PROMOTION AND TENURE / University Review Committee Recommendation Form**

Candidate \_\_\_\_\_

Action under consideration:

Academic Year: \_\_\_\_\_

- Tenure
- Promotion

The University Review Committee is to evaluate the faculty member in the areas of teaching, scholarly/creative activities, and service. For faculty being considered for tenure, the evaluation should emphasize the time period in his/her tenure-track position at Troy University and any time spent in the tenure-track position at another institution for which he/she received credit toward tenure. For faculty being considered for promotion, the evaluation should cover the time period from the last promotion to the present.

1. Recommendation:

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_ Abstained \_\_\_\_\_

2. Remarks: (In cases involving promotion, include justification for the voting and reflect both the expressed majority and minority positions if the vote is not unanimous.)

\_\_\_\_\_  
Signature of designated University Review Committee Member

Date

**Form N - PROMOTION AND TENURE / Executive Vice Chancellor and Provost Recommendation Form**

Candidate \_\_\_\_\_

Action under consideration:

Academic Year: \_\_\_\_\_

- Tenure
- Promotion

The Executive Vice Chancellor and Provost is to evaluate the faculty member in the areas of teaching, scholarly/creative activities, and service. For faculty being considered for tenure, the evaluation should emphasize the time period in his/her tenure-track position at Troy University and any time spent in the tenure-track position at another institution for which he/she received credit toward tenure. For faculty being considered for promotion, the evaluation should cover the time period from the last promotion to the present.

1. Recommendation:

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_

2. Evaluation Remarks:

\_\_\_\_\_  
Signature, Executive Vice Chancellor and Provost

\_\_\_\_\_  
Date





Form P · PROMOTION AND TENURE / University Summary Sheet for Tenure

UNIVERSITY SUMMARY SHEET FOR TENURE						
ACADEMIC YEAR _____						
Candidates	Current Rank	Department	Campus or Site	College	Approved By	
					URC	EVC / Provost
List (names only) those denied tenure who will be issued a final contract.						

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