



College of
Education

Faculty Handbook & Policies

2015-2016



Preparing Educators Since 1844

Faculty Handbook & Policies

2015-2016

The University of Alabama has long been concerned with programs for the preparation of public school personnel. In 1844, only 13 years after the University's establishment in 1831, a Normal Department was provided for those who wished to prepare for teaching careers. In 1872, the Normal Department became the Normal School. By 1899, the Trustees had replaced the Normal School with the School of Pedagogy and Psychology, which in 1902 became the School of Philosophy and Education. In 1908, the school was reorganized as the Department of Education; one year later further organizational changes resulted in the name being changed to the School of Education.

The present College of Education was established in 1928. Until 1924, the University's offerings in teacher education were almost entirely limited to undergraduate programs for elementary and secondary teachers. Graduate work in school administration was added in 1924; and all programs, undergraduate and graduate, were greatly expanded during 1927 and 1928. Doctoral programs were authorized in 1951. Currently, the College of Education is divided into six departments.

About Our Faculty Handbook

The College of Education provides information to faculty members regarding the College's organizational structure, position descriptions, policy statements, and operating procedures through the issuance and maintenance of the *College of Education Faculty Handbook and Policies*. This Handbook will be updated and revised by semester, and a thorough review will be completed every five years by the Administrative Council.

College policies are subordinate to University policies presented in University catalogs, handbooks, and policy manuals. This Handbook reflects current policies, but in the event of a conflict, the statements contained in current University catalogs, handbooks, policy manuals, or Board of Trustees official minutes and manual of rules, bylaws, and guidelines will prevail.

Please read carefully the policies that govern professional conduct and relations in our academic community. The *College of Education Faculty Handbook and Policies* is available at <http://www.education.ua.edu>.

Mission

Our mission at the Capstone College of Education is to be a leader in Alabama and across the nation in teaching, scholarship, advocacy, and service by developing professionals with pedagogic and disciplinary expertise who advance the intellectual and social conditions of all learners in a globalized society.

College of Education Conceptual Framework

The vision of the College of Education (COE) at The University of Alabama is to develop effective, ethical, and reflective professionals who advance the theme of the COE: Unites, Acts, and Leads (UA Leads). By engaging in theoretically informed and intellectually advanced effective practice our graduates will

UNITE with the larger community to collaboratively nurture cultural competence, empathy, and a vision of equity and justice for all learners;

ACT to develop the full potential of all learners to be excellent professionals in their field; and

LEAD through continuous research-based critical inquiry of policy and reflective practice to enable transformative change in our diverse local and global communities.



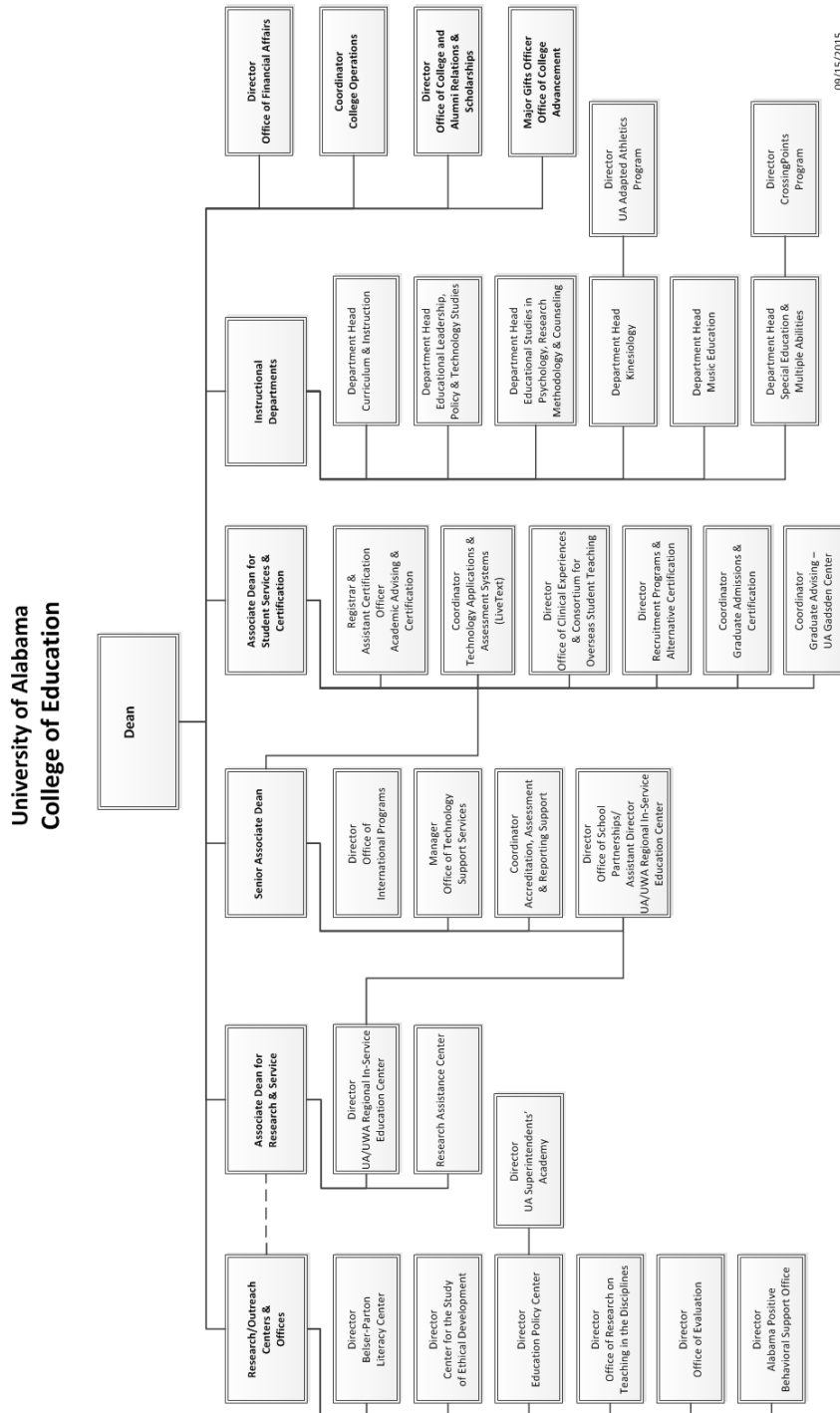
Centers and Services

- Adapted Athletics
- Alabama Community College Leadership Academy
- Belser-Parton Literacy Center
- Center for the Study of Ethical Development
- Crossing Points
- Education Policy Center
- Holmes Scholars
- Innovative Technology, Teaching, and Learning Lab
- Office of International Programs
- Office of Research and Service
- Office of Research on Teaching in the Disciplines
- Research Assistance Lab
- Summer Enrichment Workshops
- Technology Support Services
- University of Alabama Superintendents' Academy
- UA/UWA Inservice Center

Departments

- Curriculum and Instruction
- Educational Leadership, Policy, and Technology Studies
- Educational Studies in Psychology, Research Methodology, and Counseling
- Kinesiology
- Music Education
- Special Education and Multiple Abilities

Organizational Chart



09/15/2015

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I. Personnel Policies



College of
Education

A. Appointment Policies

1. Academic Appointment

The College of Education will comply with the policies of The University of Alabama regarding appointment of academic personnel (non-classified positions). All recruitment must be conducted according to the provisions of the University's policy of nondiscrimination as an equal opportunity educational institution. In the College of Education, a search committee conducts the recruitment process and recommends to the Dean acceptable candidates. The Dean makes the offer of appointment and negotiates salary and tenure considerations.

Procedures

1. Department
 - a. Position needs and funding source are determined and cleared verbally by the Department Head, with the Dean
 - b. The Search Committee is formed by the Department Head (with the Dean's approval) and the chair is appointed
 - c. Obtain recruitment packet from Department of Human Resources, G-75, 348-6690.
 - d. Prepare Position Recruitment Notice and Plan form (PRNP), with assistance/consultation of Unit Affirmative Action (AA) Coordinator.
 - e. Sign and forward PRNP to the Dean/Director.
2. Dean/Director
 - a. Review PRNP for position description and budgetary approval.
 - b. When approved, sign and forward to the Provost.
3. Provost
 - a. Review PRNP for budgetary approval.
 - b. When approved, sign and forward to the Academic Compliance Officer.
4. Academic Compliance Officer
 - a. Review PRNP for minimum qualifications and for strategy to attract diverse pool, including minorities and women.
 - b. Create recruitment file. Assign log number, place position advertisement on the Internet. Return approved PRNP to Department.

5. Department
 - a. Release approved position announcement/advertisement.
 - b. Implement Recruitment Plan.
 - c. Acknowledge applications and send applicants AA Data Form which applicants return to Office for Academic Affairs. Begin data entry on Applicant Worksheet and forward to Human Resources for completion.
 - d. Review applications and select potential candidates for interview. Send copies of resumes of those selected for interview to the appropriate Dean, Director, and Provost for review.
 - e. Obtain summary tabulation of pool data from Human Resources. If pool is small or non-diverse, decide whether to reopen or extend search.
 - f. Interview selected candidates.
 - g. Make decision about which candidate to recommend.
 - h. Prepare Final Selection Report and forward to the Dean/Director. Attach resumes of interviewed candidates and other necessary supporting data.
6. Dean/Director:
 - a. Review Final Selection Report and supporting data.
 - b. When approved, sign and forward to Academic Compliance Officer.
7. Academic Compliance Officer
 - a. Review Final Selection Report for affirmative action compliance and salary comparison.

2. Adjunct Faculty

1. The College of Education will comply with The University of Alabama's policy regarding the appointment of adjunct faculty.
2. The approval of adjunct faculty will normally be carried out by the appropriate program/content Department faculty in the College. They will review the adjunct faculty member's credentials for appropriateness and will forward their approval to the Program Coordinator who will in turn forward the material on to the Department Head with a recommendation for approval or non- approval. Approval to teach courses is for a one-year period of time. Follow-up approvals of all adjuncts are required and follow-up approval should include a review of teaching evaluations from prior classes taught.
3. Adjunct faculty who are approved to supervise internship experiences who will not be teaching regularly scheduled University classes may be approved by the appropriate program

faculty for up to three years. After completing a three-year cycle, clinical adjunct faculty may be renewed by a recommendation of the appropriate program faculty through the Program Coordinator to the Department Head. In the reappointment of clinical internship supervisors, a record of their evaluations should also be available to the faculty for their review before a recommendation to renew is forwarded to the Department Head.

Procedures

1. Adjunct faculty status provides individuals who have expertise in particular fields with the opportunity to teach courses, to direct field work with students, to assist in research projects of students, to consult on research or instructional projects, and to direct graduate students. Adjunct faculty appointments are non-tenure earning, have a term of one year, and convey no right or expectation of continued employment beyond the period specified. No time spent in adjunct status may be applied to the removal of a probationary status.
2. Adjunct faculty may be compensated for services provided. The amount of compensation will vary according to the service rendered and the rank of appointment. Compensation for services will not exceed the rates approved for regular members of the faculty unless otherwise noted by the Academic Vice President.
3. Criteria for appointment to an adjunct rank include substantial professional preparation or experience comparable to the requirements for appointment to a regular faculty position at the assigned adjunctive rank. Appointments may be made at the rank of Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor.
4. The recommendation to appoint an individual to adjunct status begins at the Program level. A vita and a memorandum from the Department Head specifying the type of expected service and the term of service should be forwarded to the Dean. A letter of appointment will be issued by the Dean, if approved. If appropriate, the Department Head must also submit a request to the Dean for temporary graduate faculty status.
5. Adjunct faculty members are entitled to limited University benefits. Adjunct faculty members may use the University Health Service for injuries incurred in the conduct of University responsibilities. Adjunct faculty should obtain UA Action Cards which entitles the holder to certain privileges.
6. Program faculty, the program coordinator, and the Department Head must approve all adjunct appointments. Adjuncts appointed to teach College of Education courses must be reappointed annually. Adjunct faculty approved to supervise internships and practicums must be reviewed for reappointment every three years.
7. When it is necessary to hire an adjunct faculty member to teach, the individual must submit an up-to-date vita and other information that a program may wish to review. Adjuncts who have taught in the past should submit copies of their teaching evaluations along with their vita.

B. Administrative and Released Time

1. Department Heads and Program Coordinators

1. Each Department Head has a .5 administrative appointment and receives an annual administrative stipend. The Department Head teaches one regularly scheduled contact course each semester. In addition, the Department Head has a .5 administrative appointment for the summer.
2. Departments with more than 15 tenure-line faculty have an additional two course reduction (equivalent to .50 FTE) to distribute each semester for administrative support and for assistance with departmental administrative responsibilities.
3. Departments with 10-15 tenure-line faculty have one additional course release for each semester to support needed administrative duties within the department.
4. Departments with less than 10 tenure-line faculty have one course release per year.

2. Faculty Sabbatical Leave

1. In compliance with University of Alabama policy regarding sabbatical leave and faculty exchange, applicants will be requested to provide these data in their requests for sabbatical leaves:
 - a. Description of the project to be undertaken.
 - b. Description of prior work done on the proposed project.
 - c. Anticipated outcome of the project.
 - d. Anticipated time of completion of the project.
 - e. Statement of value of the project to the professional goals of the requester, to the program area of the requester, and to the University.
 - f. Description of appropriate plans for travel or residence away from campus.
 - g. Dates and nature of previous leaves.
 - h. Special circumstances such as contingency on grants and approval for use of facilities of other agencies.
 - i. Plans after completion of leave.
2. Applications will be rank ordered and forward to the Provost.
3. As stated in the University of Alabama Faculty Handbook, no later than one month after the beginning of the academic year semester following the conclusion of a sabbatical leave, the

grantee will be expected to submit a reasonably detailed report of achievements accomplished under the approved plan.

4. Sabbatical Selection Criteria for the College of Education

- a. The main tasks of the project must account for a weekly commitment of 40 hours of work for the duration of the sabbatical period. Thus, it is key that the sabbatical proposal identify the specific activities and/or procedures that will be performed by the faculty member to meet the project's objectives.
- b. Preference is given to projects whose main tasks are completed off campus. Thus, it is key for the proposal to demonstrate that all off site conditions have been arranged or at least tentatively secured. This means that if research is going to be conducted in a school district, arrangements with the school district have been documented, or if one is planning to do work in another university setting, that space and research privileges have been obtained, or if archival work is planned, the archives have been identified and access preliminarily granted. Similarly, all costs attendant for travel must be secured.
- c. Preference is given to projects that have already filed an application for IRB approval or that altogether secured IRB approval.
- d. Preference is given to candidates who have completed earlier sabbatical projects with distinction or, in the case of research-based proposals, candidates who have a demonstrated a record of distinction as a researcher.

3. Faculty Travel, Leave, and Consulting

1. The College of Education will comply with all University travel, leave, and consulting policies and regulations. The College of Education requires that a Travel Leave Consulting Form must be submitted and approved prior to the faculty member leaving the University campus to engage in activities other than those involved in teaching approved, scheduled courses in Birmingham or Gadsden. This form must also be submitted by students who travel or provide services under University contracts or on behalf of the University. Individuals must submit the Travel Leave Consulting Form prior to the anticipated date of travel.
2. Travel is not an entitlement, but it is a benefit that we are able to provide faculty when we are judicious in the use of our funds and make effective use of the resources we have.
3. Each academic year, the College intends to make available to each tenure track faculty member up to \$1,100 to support faculty travel.
 - a. The requirements for requesting funds will include active participation and presentation at a professional meeting.
 - b. Given our emphasis on national recognition, it is expected that the majority of funds will be used to support presentations as senior author at national and international conferences.

- c. Individuals serving as officers and on major committees may use the funds for travel to meetings.
4. All travel must be approved in advance by the Department Head and Finance Director, with an indication by the faculty member as to how he or she will cover classes missed. This approval is granted by completing the Travel Leave Consulting Form.
5. Please be reminded that funds cannot be transferred to others.
6. A maximum balance of \$1,100 may be carried over into the next fiscal year for the travel needs of the individual faculty member for a specific purpose if approval is obtained from the Department Head and Dean.
7. It is the faculty member's responsibility to see that reimbursement requests are submitted in a timely manner and that the documentation is accurate. Under the University's travel policies, if reimbursement is submitted more than 60 days after the traveler's return, the reimbursement will be taxable income to the employee. Tax withholding will be made from a subsequent salary check (Federal tax regulations require that substantiation of reimbursed expenses be made within a reasonable period. Under the IRS safe-harbor rule, that period is 60 days.).
8. Please remember that when traveling on University funds, you must have proof of travel such as your plane ticket and/or other verification of travel completed. You must also have original hotel receipts for reimbursement purposes and a copy of the program for the conference where you were presenting and/or were involved as an officer of the organization. The University's travel policies can be found at <http://accountspayable.ua.edu/pages/travel-policies.html>. These policies are updated as changes occur.

Procedures for Travel, Leave, or Consulting

1. Before any travel, leave, or consulting is done, the traveler must complete the Travel Leave Consulting Form posted on the College website. See <http://education.ua.edu/faculty-and-staff/financial-forms/>
2. Unauthorized travel expenses will not be reimbursed.
3. If a state-owned vehicle is to be used, the traveler completes the Application for Use of State-Owned Automobile for Official Business Only form. See <http://fleet.ua.edu/forms/st-vh-app-9-07.xls>
4. Documents are submitted as follows:
 - a. If grant monies are involved, all forms are submitted to the Grant (Project) Director for his or her approval and signature prior to being submitted to the Department Head.
 - b. If standard College funds are involved, all documents are submitted directly to the Department Head for approval and signature.
5. If the Department Head approves, the documents will be submitted to the Director of Financial Affairs for processing.

6. Upon return from a trip, the traveler completes the appropriate expense documents and submits them to the Department Head.
7. Under the University's travel policies, if reimbursement is submitted more than 60 days after the traveler's return, the reimbursement will be taxable income to the employee. Tax withholding will be made from a subsequent salary check (Federal tax regulations require that substantiation of reimbursed expenses be made within a reasonable period. Under the IRS safe-harbor rule, that period is 60 days.).
8. The University's travel policies can be found at <http://accountspayable.ua.edu/pages/travel-policies.html>.

C. Faculty Load

1. Faculty Workload Policy

1. The workload policy in the College of Education is shaped by three main elements: teaching, service and research. The teaching of one course represents an effort allocation equal to twenty percent of a faculty member's time. The default teaching norm for all tenure-track faculty members is 2 courses per semester, or a .40 work allocation norm. All tenured faculty members are also expected to carry a .40 teaching obligation, but they may have their effort allocation norms differentiated to reflect differences in teaching, service and research. Tenure-track and tenured faculty may also buy-out of their teaching obligations according to the College's buy-out policy. Fixed term faculty members, labeled as teaching professors, are expected to teach 5 courses per semester. No service or research obligations are accorded to teaching faculty members. Clinical faculty members are typically expected to teach 3 or 4 courses per semester, depending on their other obligations, which may include both research and/or service expectations, as negotiated by the Department Head. All work load assignments are made the Department Heads.
2. The default norm for research conduct is forty percent of a faculty member's time (or .40) for tenured and tenure track faculty members. Tenured faculty members may reduce their research profile to accommodate more teaching or more service, but the effort allocation norm for research may not go below .20. Buy-out efforts and other factors (such as sabbaticals, Fulbright assignments and special projects) may result in increasing the research norm. No research norm is accorded to teaching faculty, but one may be assigned to a clinical faculty member, in negotiation with the Department Head.
3. Work allocation norms assigned to service include work done in both professional and public settings. The default norm for tenured and tenure track faculty is .20 and is inclusive of service work conducted within university, college and departmental setting, as well as work done in service to one's professional field, such as serving as an editor to a journal or an officer to a professional group. Clinical faculty members are expected to carry a minimal service norm of .20.
4. Faculty salaries are adjudicated in relation to a faculty member's norms. Thus, a .40 research norm not only represents the weight used to calculate the contribution that research makes in the salary setting process, it also outlines the expectation of performance, meaning that a .40 research norm should yield work reasonably equal to what one might expect from a work effort that reflects 40 percent of a faculty's member time.

2. Course Reduction for Completed Dissertation

Please refer to department level policies.

3. Course Releases and Course Buyouts

Course Buyouts

Faculty members are free to buyout of their teaching obligations in order to pursue grant-sponsored projects. Once a faculty member opts for a course buyout, the monies released from the buyout are used to pay for any temporary instructional needs. Once that cost is met, the remaining balance will be redistributed: 1/3 to the Dean's Office to support college operations; 1/3 to the department to support department level operations; and, 1/3 to the faculty member. The money returned to the faculty member will be kept in a tax-free professional development account with a carry-forward privilege, which allows a faculty member could accumulate monies over time to use on larger scale initiatives, such as supporting students or going to international conferences. The buyout distribution monies will be made at the end of the pertinent semester.

Course Release and Overload

Faculty members who have been granted a course release, including compensation for heavy dissertation duties, grant-related research activities, and service-affiliated responsibilities, should only be permitted to teach overload courses under conditions that speak to a critical College mission or purpose. This could include coursework that assists with on-time graduation rates, coursework that ensures curriculum rotational integrity, coursework that only certain professors are qualified to teach, coursework that lacks in an able substitute or some combination of the above.

Course Release, Effort Allocation and Overload

When course releases are given, they must reflect the normed effort allocation of the faculty member in relation to the course release reality. In other words, when faculty members are granted a course release, their effort allocation should indicate less teaching and a commensurate increase in some other function or purpose. This way the performance of the faculty member is held accountable to the in-load effort allocation. If a course overload is granted, the effort allocation does not change, as the work is considered to be off load and not part of the normed effort allocation.

D. Remuneration

1. Merit Pay Policy for the College of Education

All faculty pay raises are based on a merit pay system, which is a policy mandated by the Board of Trustees.

The College of Education's Merit Pay Policy aims to provide incentives for faculty to excel in the performance of their work norms, which typically include some representation of teaching, research, and service, by fairly and equitably rewarding accomplishment.

Merit pay is determined using the ratings of performance based on the most recent three year window of performance. Faculty members submit data documenting their accomplishments for the last three successive academic years and Department Heads evaluate the work. If a faculty member has not been part of the College for at least three years, the departmental merit rating will be based on the number of years that they can submit.

Ninety percent of the funds allocated by the Provost for merit will be placed in the Departmental Merit pool to recognize individual faculty performance and 10% will be in the Dean's Merit pool. All faculty members will be eligible for both Departmental and Dean's Merit. Dean's Merit will be reserved for exceptional cases of individual faculty achievement. The procedures for both types of merit are described in the sections that follow.

a. Departmental Merit (90% of Merit Pool)

Departmental Merit is conducted in two major parts— negotiating goal setting and FTE and judging individual performance against set norms by assigning a merit score to each individual faculty member. The role of the Department Heads in the process is critical to its implementation. The process rests on four assumptions: 1) accomplishments will only be reported for one occurrence; 2) evaluations will be based on an aggregated three year effort; 3) department leadership will conduct the reviews and assure that faculty are mentored in the merit evaluation review model, particularly assistant professors initiating their careers; and 4) scales of rated performance will be examined and checked for cross departmental reliability. Each phase is described below.

- i. Phase 1: Negotiating Goal Setting and FTE Allocation - Phase 1 of the process has two steps—submitting an Annual Goals Report (Attachment A) to the Department Head and meeting with the Department Head to discuss FTE assignments for the upcoming year. Phase 1 is a negotiation between the Department Head and the faculty member. The Department Head will meet individually with each faculty member during the spring term to discuss their annual goals, the potential merit rating in each category, and their FTE allocations. This conference will result in a Merit Goals Report that reflects mutual understanding and agreement of the individual faculty's annual goals and FTE allocations. Faculty members are expected to set reasonable and realistic goals under the headings of teaching, research, service. These goals should take into consideration faculty strengths, years of service and aspirations, University expectations, program needs, and faculty members' specific assignments. If projected assignments change during the year, the faculty member and Department Head may agree to modify the FTE assignments on the Annual

Goals Report. If there is a major disagreement during this process, an appeal can be made in writing to the Dean

- ii. Phase 2: Annual Departmental Evaluation Review. Phase 2 of the process involves 4 steps:
 - (a) Each faculty member submits the Annual Merit Evaluation Report to the Department Head (with an electronic copy to Dean),
 - (b) The Department Head determines a Departmental Merit Score for each faculty member based on the evaluation of the Annual Merit Evaluation Report,
 - (c) The Department Head reports the Departmental Merit Score to each faculty member (with an opportunity for faculty appeal if desired),
 - (d) The Department Head submits the Departmental Merit Score for all faculty members to the Dean's Office.
- (1) Step 1: Each faculty member submits the Annual Merit Evaluation Report to the Department Head. This report represents a calendar year summary of the accomplishments of each faculty member. The report is organized to summarize accomplishments in the areas of teaching, research, and service. All presentations and publications should be reported in the style prescribed by the edition of the APA Publication Manual in use at the time of the report.
 - (2) Step 2: The Department Head determines a Departmental Merit Score for each faculty member based on the evaluation of the Annual Merit Evaluation Report. The merit ratings for each of the three areas of the Annual Merit Evaluation Report (teaching, research, and service) will be assigned based on evidence provided by the faculty member. One of five scale score ratings may be determined by the Department Head for each the three areas of faculty evaluation. These merit ratings are shown in Table 1.
 - (3) Step 3: The Department Head will report the Departmental Merit Score to each faculty member. This written summary shall include the merit rating for each of the three merit areas. If the faculty member disagrees with the Departmental Merit Score, a review of the merit ratings may be requested by the faculty member. If the review of the Departmental Merit Score results in no change by the Department Head, the faculty member may appeal the decision to the Dean. Such an appeal must be accompanied by the specific reasons the faculty member does not believe the Departmental Merit Score is appropriate. The appeal of a Departmental Merit Score will conclude with the decision of the Dean.
 - (4) Step 4: The Department Head will submit the Departmental Merit Scores for all faculty members to the Dean's Office. The Director of Financial Affairs will compute the dollar amounts for the departmental salary increases for each faculty member.

- (5) Rating Appeal. Faculty members may appeal their ratings. The process starts with the Department Head, who would communicate the decision on the appeal to the Dean's Office. If a faculty member is still not satisfied with the outcome of the departmental appeal, he or she may appeal to the Dean's Office. The Dean's Office appeal requires a written statement explaining the case for the petition.

Table 1 Merit Ratings as Determined by Department Head

| Rating | Name | Description |
|--------|---|--|
| 1 | Performing Significantly Below One's Norms | A rating of 1 is interpreted as performing significantly or very much below the expected productivity assigned to one's effort allocation. |
| 2 | Performing Below One's Norms | A rating of 2 is interpreted as performing below the reasonable expectation of performance for one's effort allocation a rating of 1 significantly or very much below the expected productivity. |
| 3 | Meeting One's Norms | A rating of "3" is offered to faculty who have produced evidence of work accomplishments that can be interpreted as equal or reasonably commensurate with their effort allocation. |
| 4 | Performing Above One's Norms | A rating of 4 represents an output of work that could be interpreted as above or greater than what one might reasonably expect from the agreed upon effort allocation. |
| 5 | Performing Significantly Above or Well Beyond One's Norms | Performing Significantly Above or Well Beyond One's Norms |

A rating of "3" (Meeting Norms) is offered to faculty who have produced evidence of work accomplishments that can be interpreted as equal or reasonably commensurate with their effort allocation. If the effort allocation is, say, .4 (or 40% of one's work load), the Department Heads are asked to make some judgment as to whether the work produced reasonably reflected such an effort allocation. A scale rating of 4 would represent an output of work that could be interpreted as above or greater than what one might reasonably expect from the agreed upon effort allocation. And in very rare cases, a rating a 5 could be considered if the faculty member produced work that could be interpreted as well above or beyond what might be expected from the set work allocation. In the same way, a rating of 2 is interpreted as performing below the reasonable expectation of performance for the work effort and a rating of 1 significantly or very much below expected productivity. The Dean will convene a meeting of all of the Department Head ratings to cross check them against each other in order to help keep a reliable scale of evaluation across departments.

Table 2 Professor X

| Sphere | Effort Allocation | Performance Rating | Product |
|---------------|------------------------------|-------------------------------|----------------|
| Teaching | 0.4 | 3.0 | 1.2 |
| Research | 0.4 | 4.0 | 1.6 |
| Service | 0.2 | 3.0 | .6 |
| TOTAL | | | 3.4 |

To assign ratings, the Department Head should differentiate performance using no less than half-point increments within the scale. Once the Department Head determines ratings for each of the five areas of the Annual Merit Evaluation Report, a Departmental Merit Score will be calculated for the faculty member under review. The Departmental Merit Score will result from multiplying the merit rating for each of the three areas of merit review by the assigned effort allocation weight for each area. For example, consider Professor X.

To assign ratings, the Department Head should differentiate performance using no less than quarter-point increments within the scale. Once the Department Head determines ratings for each of the three areas of the Annual Merit Evaluation Report, a Departmental Merit Score will be calculated for the faculty member under review. The Departmental Merit Score will result from multiplying the merit rating for each of the three areas of merit review by the weighting for that area then summing the results across the three areas. For example, consider Professor X in Table 2. Because 3 represents the scale score of adequacy (or meeting one's established norms), Professor's X's score of 3.4 carries the conclusion that Professor X performed above the level of productivity associated with her norms.

b. Dean's Merit (10% of Merit Pool)

In addition, for exceptional performance, the Dean can award Dean's Merit. The Dean is not required to award Dean's Merit in a given year, but this right is maintained for use in exceptional cases of faculty achievement. The Dean will evaluate Faculty Merit Evaluation Reports for this purpose, but will emphasize criteria that support overall College goals. The Dean's Merit pool of funds will consist of a maximum of 10% of the funds allocated to the college for salary merit purposes. After the exact amount of funds to be utilized in the Dean's Merit has been determined, any remaining merit pay funds will be reallocated to increase the departmental merit pool. There will be two levels of Dean's Merit awarded based on the evaluation of the Faculty Merit Evaluation Reports. The exact amount of funding will be determined based upon the total number of faculty in each level and their individual salaries (Remember: the merit pay increase will be based upon a percentage increase of salary). The Dean will examine all faculty members for Dean's Merit consideration.

As an example, suppose that in a given year 4% of the total faculty salary was allocated for faculty merit salary increases: [4.0% to college] – [0.4% for Dean's Merit] = [3.6% for departmental merit].

2. Salary Inequity Review

The College of Education will maintain a process for reviewing salaries to identify inequities that may exist. An inequity is defined as a monetary differential which has been created in the process of determining salaries by unusual or unfair occurrences outside the normal review process. An inequity is not meant to be construed as a single salary schedule based on degrees or years of experience; in fact, salaries in the College vary significantly because of the specific field and because of merit ratings. In many instances, cumulative merit ratings may have the effect of producing significant salary differentials over a period of years as well as between fields.

Procedures for Salary Inequity Review

1. The Department Head will report suspected instances of salary inequity to the Dean of the College of Education by May 15th each year.
2. Prior to completing the budget planning process for the next year, the Dean will review Department faculty salaries and confer with the Department Head if salary inequity is suspected.
3. When funds are available from the Office of Academic Affairs to correct salary inequities, the Dean will remedy the inequity.
4. Faculty members receiving salary increases to reduce an inequity will be notified in writing when annual salary letters are issued.
5. The process to be used, as adopted by the Faculty Forum on April 24, 1997, is as follows:
 - (a) Two different kinds of inequity can be identified in faculty salaries,
 - (1) Intra-institutional (internal) disparities between the salaries of faculty within the College of Education.
 - (2) Inter-institutional (external) disparities between salaries at The University of Alabama and salaries at other Southeastern Universities of similar standing.
 - (b) The Faculty Affairs Committee propose that any money secured for equity payments be divided as follows:
 - (1) Intra-Institutional Equity Adjustments
 $A\%$ (where $0 < A < 20$) should be used by the Dean to meet individual cases of inequity within the College according to current policies and criteria.
 - (2) Inter-institutional Equity Adjustments
 $B\%$ (where $B = 100 - A$) of funds will be distributed to faculty for inter-institutional inequity according to the following weighted formula. Consideration is given to the number of faculty within each rank (x – Full, y – Associate, and z – Assistant) and the deviation of average Full, Associate, and Assistant salaries (D_x , D_y , and D_z respectively) from the Southern University Group (SUG) average. The average deviation T is given by the product sum $T = xD_x + yD_y + zD_z$

- (3) By dividing T among the three ranks and distributing M proportionally, the following total funds are determined. This sum will then be distributed by the Dean with consideration given to years of service in rank and productivity as shown in Figure 1.

| | | | |
|-------------------|--------------------|-------------------------------------|------------------|
| Full= | $\frac{M.xD_x}{T}$ | each faculty member receives | $\frac{MD_x}{T}$ |
| Associate= | $\frac{M.yD_y}{T}$ | | $\frac{MD_y}{T}$ |
| Assistant= | $\frac{M.zD_z}{T}$ | | $\frac{MD_z}{T}$ |

Figure 1. Illustrating the Sum distributed by the Dean according to years of service in rank and productivity.

Example

Suppose the Dean secures \$11,000 to address inter-institutional equity. If the College had 60 faculty, comprising 20 Full, 10 Associate, and 30 Assistant professors with average salaries of \$50K, \$40K, and \$30K respectively (SUG averages for the same ranks being \$65K, \$50K, and \$35K), then see Table 3 and Figure 2.

Table 3 Example calculation for Dean addressing inter-institutional equity.

| Rank | Frequency | Average Salary | SUG Average | Disparity D |
|-------------|------------------|-----------------------|--------------------|--------------------|
| Full | X = 20 | 50 | 65 | D _x =15 |
| Associate | Y = 10 | 40 | 50 | D _y =10 |
| Assistant | Z = 30 | 30 | 32 | D _z =5 |

| | | | |
|------------------------------|----------------|---------------------|----------|
| and $T = xD_x + yD_y + zD_z$ | | | |
| $= 20.15 + 10.10 + 30.5$ | | | |
| $= 300 + 100 + 150$ | | | |
| $= 550$ | | | |
| Hence | | | |
| Full | $= (M.xD_x)/T$ | $= (11000.300)/550$ | $= 6000$ |
| Associate | $= (M.yD_y)/T$ | $= (11000.100)/550$ | $= 2000$ |
| Assistant | $= (M.zD_z)/T$ | $= (11000.150)/550$ | $= 3000$ |

Figure 2. Illustrating the Sum distributed by the Dean according to years of service in rank and productivity.

3. Compensation for Online Course Development

The development of online courses is an overload activity in the College that can be compensated via standard payroll channels or through a contribution to a faculty member's professional development account. If the professional development is chosen, 70% of the money goes to the faculty member's account; the remaining 30% goes to the department for operational purposes. The money in the professional development account could only be used for professional development purposes (software, research equipment, travel to conferences, student support and so forth) and can be carried forward each year - with no limit placed on its overall accumulation. Any hardware purchases belong to the university and the money in the account is not portable upon a faculty's member's separation from the university.

4. Summer and Interim Compensation

The salary for teaching a three-hour course will be the lesser of eighty-five percent (85%) of the in-state tuition or 7.5% of the professor's academic year (9 month) salary. A faculty member who wishes to teach a course with another faculty member should be advised that salary for each professor will be paid a percentage of the salary which would be paid if the professor had taught the course alone. The percentage is dependent on the amount of the professor's involvement in the course. In no case should the total involvement of the professor be more than one hundred percent (100%). In no case shall compensation for teaching any three-hour course exceed 7.5% of a professor's academic year salary. Summer teaching opportunities are dependent upon departmental norms and practices.

E. Job-Related Accidents and Illnesses

It is the policy of the College of Education to comply with the regulations of The University of Alabama in reporting on-the-job injuries and accidents (OJI's).

Procedures for Reporting On-The-Job Injuries (OJI's)

1. The employee must report all OJIs to their UA supervisor as soon as possible but no later than two (2) work days after the injury.
2. UA employees who do not report an OJI, fail to report the injury or see a physician within two work days will not be approved for coverage of any medical treatment related to the alleged accident/injury or for OJI time off work. The employee will also give up his/her right to file an OJI.
3. Procedure for receiving medical treatment and filing an On-the-Job Injury
 - a. An OJI or accident report form must be completed and signed by the employee and the supervisor before the employee can be approved for any necessary medical treatment related to the OJI. If the supervisor does not sign the OJI form, then it is not approved. The current form is located at <http://riskmanagement.ua.edu/forms/oji-form.pdf>.
 - b. NOTE: Injured employees must be allowed to go to the University Medical Center as soon as possible after reporting the injury to their supervisor. If the employee goes to the University Medical Center during work hours the lost time should be OJI time and not annual or sick leave.
4. The signed form must be carried by or with the injured employee to the University Medical Center to document an OJI has occurred and to receive initial medical treatment.
 - a. If the University Medical Center is closed or cannot treat the injured employee, then the employee should go to DCH Regional Medical Center – Tuscaloosa.
 - b. If follow-up OJI medical care is needed, the University Medical Center may render the care or may refer the employee to DCH, a local medical facility or to a specialist, as appropriate.
 - c. If the employee refers himself/herself to their own personal doctor without prior approval by the Office of Risk Management, then such medical care for an OJI will not be covered by the University's OJI medical insurance program.
5. The attending OJI physician at the University Medical Center must sign the OJI form and indicate the diagnosis and treatment.
 - a. The original form, signed by the attending physician is sent to the Office of Risk Management to document the injury and medical care rendered.
 - b. The University Medical Center will keep one copy for their records.

- c. A copy is given to the injured employee to return to their supervisor to document where and when medical care for the OJI was received and also to notify the supervisor of any time from work.
- 6. Claims for OJI are under the regulatory control of the state board of adjustment.

F. Graduate Faculty Membership

The Graduate Faculty sets standards for graduate work in education and provides graduate instruction. Only Graduate Faculty members can teach courses numbered 500 and above, and chair thesis and examining committees. Only full members of the Graduate Faculty may chair doctoral program advisory committees and dissertation committees.

Temporary members of the Graduate Faculty may perform specific functions for the graduate program for specific time periods. Adjunct faculty are not eligible for full Graduate Faculty membership.

It is the responsibility of each Department to elect its representative(s) to the Graduate Council, which acts for the faculty in matters relating to graduate work.

1. Standards for Membership

Faculty are encouraged to visit the Graduate School Website (<http://graduate.ua.edu>) for detailed information about graduate faculty status.

- a. **Full Membership.** Candidates must: Full members of the graduate faculty have the annual responsibility of nominating members to serve on the Graduate Faculty, including full members whose terms will expire. Nominees for full member status must meet the following criteria:
 - i. Hold an earned doctorate or other terminal degree in Education or a related field.
 - ii. Hold the rank of at least Assistant Professor in a full time, tenure-track position.
 - iii. Demonstrate ability and continuing interest in the graduate program, as indicated by:
 - (a) Quality teaching as evidenced by one or more of the following:
 - (1) Active participation on graduate thesis and dissertation committees in the last three years
 - (2) Satisfactory course evaluations (above the mid-point on the evaluative scale)
 - (3) Positive peer reviews of teaching
 - (b) At least three years of postdoctoral research relevant to the discipline or at least three years of teaching at an accredited college or university or at least three years experience involving both postdoctoral research and college/university level teaching.
 - (c) Mentoring of graduate students.
 - iv. Show a strong, continuing record of productive research, publication, or other scholarly activity appropriate to the discipline. Evidence of refereed publication is

required (normally at least 5 scholarly research publications in the last 6 years). Other evidence must include one or more of the following:

- (a) Research funding
 - (b) Presentations at professional meetings
 - (c) Review of papers for professional journals, review of research proposals for funding agencies, and/or review of books or monographs
 - (d) Professional activities (e.g., chair session for professional meeting, hold editorial position, etc).
- b. **Associate Membership.** Candidates must: An associate member of the graduate faculty is an individual in the University with an appointment in the College of Education who holds a doctoral degree or has equivalent qualifications. That person must show promise of making significant contributions to the body of knowledge and to responsible professional service in his or her discipline. Generally, new faculty members at the assistant professor level are appointed to this category. The associate member may teach graduate-level courses, advise Master's students, direct Master's theses and Educational Specialist projects, and may serve on Doctoral Program Advisory Committees and on Doctoral Dissertation Committees.
- i. Hold an earned doctorate or other terminal degree in Education or a related field.
 - ii. Hold the rank of at least Assistant Professor in a full time, tenure-track position.
 - iii. Demonstrate ability and continuing interest in the graduate program, as indicated by teaching courses or conducting supervision in the program.
 - iv. Show evidence of research in the form of publications or other scholarly activity. Evidence must include one or more of the following:
 - (a) Publications
 - (b) Research funding
 - (c) Presentations at professional meetings
 - (d) Review of papers for professional journals and/or review of research proposals for funding agencies
 - (e) Professional activities (e.g., chair session for professional meeting, hold editorial position, etc).
- c. **Temporary Membership.** Under circumstances in which a faculty member does not satisfy the above criteria, the faculty member can be recommended for a three-year appointment as a Temporary Graduate Faculty member and must be approved by the Program Coordinator, the Department Head, and the Dean.

2. Terms of Appointment

- a. **Full Members:** Full members are appointed for six-year renewable terms.
- b. **Associate Members:** Associate members are appointed for six-year renewable terms. However, an associate member may request review for full-member status before completion of the six-year term. If the full term is served, during the fall semester of the sixth year of appointment, the faculty member will be reviewed for continuation as an associate member or may request review for full-member status.
- c. **Temporary Members:** Appointments will not exceed three calendar years, but are renewable.
- d. Members of the Graduate Faculty may automatically retain Graduate Faculty status for a maximum of one year after retirement.

3. Review Process

- a. Faculty members apply for Graduate Faculty membership or renewal of Graduate Faculty membership by submitting a letter of application and documentation of their activities in the graduate program, their research productivity (publications and grant activity), and other scholarly activity for the previous six-year period. The information normally compiled into Annual Merit Reports is sufficient and need not be recompiled for the purpose of the application. The review process will normally take place at the end of the Spring Semester.
- b. The application information is reviewed by a faculty review committee composed of the Graduate Faculty of the Department, excluding the faculty member being reviewed. The chair of the committee shall rotate annually among the full professors of the Department.
- c. The Department Graduate Faculty Committee recommendation is forwarded to the Department Head, who considers the recommendation and information submitted by the applicant.
- d. The Department Head may request a meeting with the faculty member before making his or her recommendation to the College Dean.
- e. The faculty member under review will have the opportunity to respond to the Committee and Department Head recommendations before the application materials and recommendations are forwarded to the College Dean.
- f. The application and the College Dean's recommendation will be forwarded to the Graduate Council, where it will be acted upon by the Graduate Council or the Dean of the Graduate School.

4. Appeals Process

- a. An applicant may appeal any recommendation made. The appeal should be submitted to the Dean in writing, stating the rationale for reconsideration of the decision made at a particular level. After review of the appeal and any appropriate materials, the Dean will make a final recommendation.
- b. If the Dean of the College does not approve an appointment, the faculty member may request that the Dean assemble a five-member ad hoc committee of full Graduate Faculty members within the College of Education, of whom at least three must be outside the applicant's Department. First, the applicant will choose two members, then one member will be named by the full members of the Department Graduate Faculty; next, the
- c. Department Head will name one member; and finally, the Dean of the College of Education will name one member. A chair from among the committee members shall be elected by the committee. This ad hoc committee will repeat the review procedures previously described and may interview the applicant, full members of the Graduate Faculty from the Department, the Department Head, and/or the Dean. The ad hoc committee will submit its recommendations in writing to all parties involved.
- d. If the Dean of the Graduate School does not approve an appointment, then the faculty member may appeal to the Graduate Council's Committee on Graduate Faculty membership, which will make the final decision on that application.

G. Promotion and Tenure

The College of Education will comply with University policies, criteria, and standards for tenure, promotion, and tenure-progress review as specified in the most recent University of Alabama Faculty Handbook. See <http://facultyhandbook.ua.edu>.

First year faculty are required to submit paperwork for review by the Department Committee, Department Head, and Dean. In making an assessment for the review process, first year faculty will be required to (1) submit a complete updated vita and (2) submit a three-page description of their proposed teaching, research, and service agendas for the next 3-5 years. This description must include goals and a plan for developing an ongoing agenda to improve instruction and further advancement an area of research that will support graduate students.

1. Procedures for Reviews

The following procedures guide the process for tenure progress, tenure, and/or promotion reviews within the College of Education:

- a. The Dean provides each Department Head with copies of the schedule for tenure progress, tenure, and/or promotion reviews. The copies are distributed to all regularly appointed faculty as a guide for the review process.
- b. Candidates under consideration for promotion or tenure review must provide a letter of intent to the Department Head and the Dean according to the Schedule for Tenure Progress, Tenure, and/or Promotion Reviews.
- c. The Associate Dean will solicit the participation of the external reviewers identified by the candidates and Department Heads according to the Schedule for Tenure Progress, Tenure, and/or Promotion Reviews. The external reviews should be returned by the last day in September. The letter inviting the external review should request a response within two weeks acknowledging the acceptance of the review responsibilities. Telephone conversations can be used to expedite the process, but cannot be substituted for review letters.
- d. External reviewers should not be assistant professors, nor individuals who have published with the candidate, nor individuals from the candidate's doctoral alumni institution. Rare exceptions can be made with respect to disciplines that have small numbers of senior faculty, but mentors of the candidate should be avoided. Exceptions should be documented and rare. Additional procedures for external review are listed in the Schedule which follows.
- e. The Department Promotion and Tenure Committees and the College-wide Promotion and Tenure Committee should meet at the same times but not the same place to make their decisions. The College-wide review letters go to the Dean. The Department review letters go to the appropriate Department Head. The Department Heads send their review letters and the Department review letters to the Dean. It is expected that the Department Head's decision will be made independent of consultation with the Dean.
- f. For annual reappointments, only the mandatory review during the fourth year should involve the formal College-wide Promotion & Tenure Committee. Documentation from each of

these yearly reviews should be incorporated into the individual's formal dossier to provide evidence of the individual's progress.

- g. Half of the College-wide committee should be elected for two year terms on alternate years.
- h. The discussion and voting results which occur during committee meetings should be confidential. The discussions and voting results are not to be discussed after the meeting.

2. Schedule for Reviews

May, 1st Friday

May 1, 2015 - Notification

A candidate under consideration for tenure and/or promotion review should make this decision and provide a letter of intent to the respective department head and the Dean by this date

May, 2nd Friday

May 8, 2015 - Request for External Reviewers

By this date, the Senior Associate Dean should receive electronically the names, addresses, telephone numbers, and email addresses of six external reviewers from the department heads of the candidates for tenure and/or promotion. In the event that any of the external reviewers submitted are unable to participate, a list of three rank-ordered alternate reviewers should be included.

The College of Education Handbook states, "The candidate should provide a list of three external reviewers which should be forwarded to the Department Head. In addition, a senior faculty member chosen by the candidate should work with the Department Head to identify three additional faculty external reviewers."

The Senior Associate Dean will solicit the participation of the external reviewers identified.

External reviewers should not be assistant professors, or individuals who have published with the candidate, or individuals from the candidate's doctoral alumni institution. Rare exceptions can be made with respect to disciplines that have small numbers of senior faculty, but mentors of the candidate should be avoided. Exceptions should be documented and rare.

May, 3rd Wednesday

May 20, 2015 - *Submissions for External Review*

The candidate for tenure and/or promotion must submit electronically to the Senior Associate Dean a current vita and three articles which will be examined by the external reviewers. The candidate may also include a three page electronic statement which briefly introduces, describes, and frames his/her scholarship, teaching, and service. The Senior Associate Dean will send materials to the external reviewers. The external reviews should be returned by the 14th of August.

August, Last Friday

August 28, 2015 - Information Distributed by the Dean

The Dean will distribute one copy of the Required Dossier Information for the Dean's Office to all faculty members, except full professors with tenure (pgs. 28-30, College of Education Faculty Handbook & Policies).

September, 3rd Friday

September 18, 2015 - Prospectuses and Dossiers

First-year faculty members must submit to their respective department heads a complete and current vita and a three- to five-page description of proposed teaching, research, and service agendas (prospectus) for the next 3-5 years at The University of Alabama. Emphasis should be placed on goals and development of an ongoing agenda to improve instruction and further develop an area of research that will support graduate students.

All tenure-track faculty members (not applicable to temporary appointments and 1st year faculty) must submit a dossier of supporting materials (no more than 100 pages) to their respective department heads.

4th year faculty and Promotion and Tenure candidates must submit two complete dossiers and sets of supporting materials – one complete set to the Department Head and one complete set to the Senior Associate Dean.

Do not place single pages in plastic sheet protectors.

In addition to the 100 page dossier with no single page protectors, a candidate MAY make copies of manuscripts and provide book(s) as supplemental information. The materials must be secured in a binder, folder, or with a clip/rubber band and turned in with the dossier to the Dean's Office.

All other additional materials should be kept in the candidate's office in the event additional information is needed. All faculty members should keep a copy of their dossiers for reference.

September, Last Friday

September 25, 2015 - Additions to Dossiers and Submission to Committee(s)

The Department Head may add information to the dossier that he or she considers relevant. In the event information is added, the Department Head informs the candidate who has the opportunity to add explanatory or rebuttal material.

The Department Head submits the dossiers to the Department Committee on Tenure and Promotion.

October, 1st Friday - 3rd Friday

October 02, 2015 - October 16, 2015 - Department Committee on Tenure and Promotion

The Department Committee on Tenure and Promotion will review the prospectuses of 1st year tenure-track faculty and dossiers submitted (a) for annual Tenure Progress Reviews, (b) for 4th year faculty, and (c) for faculty requesting tenure and/or promotion.

October, Last Friday

October 16, 2015 - Department Committee Chairperson

By October 16th, the Department Committee Chairperson will provide evaluation letters to 4th year faculty which include feedback and suggestions for improvement

By October 16th, the Department Committee Chairperson will provide evaluation letters to candidates for tenure and/or promotion which include action taken with regard to tenure and/or promotion and the Committee's assessment of whether the dossier contains convincing evidence that all applicable criteria and standards have been met.

The Department Committee Chairperson will forward to the Department Head and to the Dean's Office copies of evaluation letters of 4th year and tenure and/or promotion candidates.

October, Last Friday

October 30, 2015 - Department Committee Tenure Progress Review

The Department Committee will provide, by October 30th, (a) feedback to 1st year tenure-track faculty based on reviews of their prospectuses and (b) Tenure Progress Reviews to 2nd, 3rd, and 5th year tenure-track faculty. The Tenure Progress Review includes a discussion of evidence in the dossier showing progress toward tenure and may include suggestions for improvement.

The Department Committee Chairperson will forward to the Department Head and the Dean's Office all copies of correspondence related to feedback to 1st year tenure-track faculty and Tenure Progress Reviews for 2nd, 3rd, and 5th year tenure-track faculty members.

By October 21st, the College-wide Committee will review the dossiers of all faculty applying for tenure and/or promotion. The Chairperson of the College-wide Committee will notify the faculty member of action taken with regard to tenure and/or promotion and will include the Committee's assessment of whether the dossier contains convincing evidence that all applicable criteria and standards have been met.

October, 1st Friday - 3rd Friday

October 02, 2015 - October 16, 2015 - College-wide Committee on Tenure and Promotion Review

The College-wide Committee on Tenure and Promotion does **not** review prospectuses and dossiers of 1st, 2nd, 3rd, and 5th year tenure-track faculty.

By October 16th, the College-wide Committee will review and comment on the dossiers of all 4th year faculty and provide feedback to the faculty member reviewed.

By October 16th, the College-wide Committee will review the dossiers of all faculty applying for tenure and/or promotion. The Chairperson of the College-wide Committee will notify the faculty member of action taken with regard to tenure and/or promotion and will include the Committee's assessment of whether the dossier contains convincing evidence that all applicable criteria and standards have been met.

November, 1st Friday

November 06, 2015 - Faculty Requests for Review of Committee Recommendation(s)

By November 6th, the faculty member may request a review of the tenure and/or promotion recommendation or the Tenure Progress Review through submission of a written notice, by this date, to the Department Committee Chairperson.

By November 6th, the faculty member may request a review of the tenure and/or promotion recommendation or the 4th year review recommendation through submission of a written request, by this date, to the Chairperson of the College-wide Committee.

November, 2nd Friday

November 13, 2015 - Special Reviews

By November 13th, the Department Committee and/or College-wide Committee will meet with faculty members requesting a special review and will notify the faculty member of the special review results and indicate in writing the reasons for the results.

| | |
|----------------------------------|--|
| November, 3rd Friday | <p>November 20, 2015 - Submission of Materials to Department Head and Dean</p> <p>By November 20th, the Department Committee Chairperson will submit (1) all modified evaluation letters for tenure progress reviews, 4th year reviews, and tenure and/or promotion reviews and recommended actions, (2) all faculty members' dossiers, and (3) other relevant correspondence and materials to the Department Head and to the Dean's Office.</p> <p>By November 20th, the College-wide Committee Chairperson will submit <u>all</u> tenure and promotion materials to the Dean's Office.</p> |
| November, Last Wednesday | <p>November 25, 2015 - Faculty Notification by Department Head(s)</p> <p>The Department Head will notify the faculty member of his/her recommended action relative to tenure and/or promotion including a discussion of evidence in the dossier showing progress toward meeting the criteria and standards. The Department Head will also notify the tenure-earning faculty member (who is not applying for tenure) of the results of the Tenure Progress Review.</p> |
| December, 1st Friday | <p>December 04, 2015 - Faculty Requests for Review of Department Head's Recommendation</p> <p>The faculty member may request, through submission of a written notice by this date, a review of the Department Head's tenure and/or promotion recommendation or an explanation of the Department Head's Tenure Progress Review.</p> |
| December, 2nd Friday | <p>December 11, 2015 - Special Reviews</p> <p>The Department Head will meet with faculty requesting a special review. The Department Head will notify the faculty member of the special review results and indicate in writing the reasons for the results.</p> <p>The Department Head will submit all tenure and promotion materials to the Dean.</p> |
| January, 3rd Friday | <p>January 15, 2016 - Dean's Review</p> <p>The Dean will review the materials received. The Dean will notify the faculty member, in writing, of the recommendation made and indicate the reasons for the recommendation.</p> |
| January, 3rd Monday | <p>January 18, 2016 - Faculty Request for Review of Dean's Recommendation</p> <p>The faculty member may notify the Dean, in writing, of a request for a special review.</p> |
| January, 3rd Monday - 4th Friday | <p>January 16, 2016 - January 22, 2016 - Special Reviews</p> <p>The Dean will meet with faculty requesting a special review from January 18th – January 22nd and review the action taken. The Dean will notify the faculty member, in writing by the last Wednesday of January (January 27th) of the review results and indicate the reasons for the review results.</p> |
| January 29, 2016 | <p>January 29, 2016 - Submissions to the Office of Academic Affairs</p> <p>The Dean will transmit appropriate documents and recommendations to the Office for Academic Affairs.</p> |
| April 2016 | <p>April 2016 - The Provost will announce decisions.</p> |

3. Required Dossier Information for The Dean's Office

It is recommended that faculty members seeking reappointment, promotion and/or tenure submit support materials in limited quantity to The Dean's Office.

- Support documentation should be limited to 100 pages (including pages of sample articles and evaluation forms).
- Faculty members should house other support materials in their offices for inspection by the promotion/tenure committees upon request.
- The College requires that external evaluations be included in the dossier.

Dossiers to be presented for review must include the following items:

a. Intent

Clearly state if the dossier supports a request for (1) tenure review, (2) promotion review, (3) tenure and promotion review or (4) a tenure-progress review required annually of all non-tenured faculty members. If years are brought in from another institution, this should be so stated, and the number of years at the other institution should be clearly indicated. The initial appointment letter from the Dean indicating the number of years credited must be included in the dossier.

b. Personal Data

Must include name, department, initial rank with date of appointment, present rank with date of appointment, proposed rank if promotion review, date tenure was earned, highest degree and major field, and date and institution of highest degree.

c. Current Vita

d. Teaching:

- i. List of all courses taught;
- ii. Mandatory University of Alabama evaluations of all courses (including practica, internships, supervision) taught in last three years;
- iii. Innovations and improvements instituted;
- iv. Master's theses directed in last five years, completed and in progress, including title, name of candidate, and a date of graduation;
- v. Doctoral dissertations directed in the last ten years, completed and in progress. Include title, name of candidate, date of graduation and publication status with complete citation in APA or MLA style;

- vi. Evidence concerning quality of teaching, including student evaluations from every course taught in the College and including documentation of peer observations of teaching;
- vii. Evidence concerning type and quality of all supervision in the schools or elsewhere.

e. Scholarly Contributions;

Include and classify separately the following:

- i. Articles published in refereed journals in the candidate's discipline;
- ii. Books published by recognized publishing houses;
- iii. Book-length research monographs;
- iv. Invited or juried or reviewed exhibitions, presentations, or performances;
- v. Chapters in books and edited collections of readings;
- vi. Research reports or training manuals submitted in connection with research grants or contracts;
- vii. Participation in research contract or grant activities;
- viii. Papers published in the proceedings of meetings of professional associations;
- ix. Articles in non-refereed periodicals;
- x. Papers presented at professional meetings;
- xi. Appointment as a referee, or as a member of an editorial board, or as an editor of a scholarly academic or professional journal;
- xii. Newsletter-type articles regarding topics of interest to educators in publishers' periodicals;
- xiii. Any other type of scholarly publications and creative efforts which contribute to the candidate's fields of specialization.
- xiv. NOTE: Jointly authored material should indicate all authors and percent and description of specific contribution to the work. Authorship must involve some contribution beyond oral discussion of the topic.

f. Service:

- i. Committee memberships – department, college, and university including doctoral program planning and dissertation committees;
- ii. University sponsored service – state, regional and national;

- iii. Voluntary external service – state, regional and national;
- iv. Paid consultancies.
- v. Important professional activities which contribute materially to the individual's professional stature and to the University's mission.
- vi. NOTE: Research-related presentations are not part of service under ordinary circumstances.

g. Contract and Grant Activity:

- i. Title of projects – submitted and funded;
- ii. Brief, one-paragraph description of each project and your role in it;
- iii. Dollar value of each project funded;
- iv. Indicate funding agency for each project;
- v. Number of funded projects on which you worked in a released time role as project director or other.

h. Professional Development:

- i. Participation in short courses, institutes, conferences, formal study, educational television, etc.;
- ii. Memberships in professional societies;
- iii. Leadership roles in professional societies.

i. Other

All previous evaluation letters from tenure and promotion committees, Department Head, and Dean.

H. Faculty Performance Review

1. Faculty Activity Report (FAR)

- a. FAR serves as a source (i.e., base) document for merit pay referenced in D. Remuneration. See page 11.
- b. All faculty are required to submit an annual summary of their contributions in research, teaching, service, and administrative responsibilities to both the college and the department. The report, which can be accessed by visiting <https://www.far.ua.edu>, should be updated throughout the year and published once each year.
- c. FAR publication dates should be verified with individual departments.

2. Non-tenure Track and Renewable Contract Faculty

Please see official University policy and contact the Dean's Office.

I. General

1. Faculty Meetings

The College of Education will conduct various faculty/staff meetings through which faculty and staff may provide input in the decision-making process. As a policy of the College, faculty are expected to attend all Department faculty meetings, committee meetings, and College-wide faculty/staff meetings. Attendance and participation in meetings are elements of academic citizenship.

2. Code of Conduct

The University of Alabama expects high ethical standards of all personnel. In particular, the University endorses the principles set forth in the following Statement on Professional Ethics by the American Association of University Professors (June 1987). See University Faculty Handbook for detailed information. <http://facultyhandbook.ua.edu/ii-code-of-conduct.html>

3. Faculty Concerns and Issues

Complete the following forms to advance a petition to the Faculty Issues Committee Chair. The Chair will remove all identification information from the document to preserve the anonymity of the faculty member filing the petition.

FIC Petition # _____

Completion of all sections of the Petition will advance reviews in the most timely and efficient means possible. Please provide as much information as possible to substantiate the Issue.

1. Describe the issue/complaint:
2. Describe the context/history of the concern:
3. Provide any supporting information to clarify the concern:
4. Project the scope/impact of the issue/concern on others:
5. Describe any prior attempts and contacts made to minimize/eliminate this issue:

_____ Academic Issues Committee
_____ Appeal to an administrator above Department Head
_____ Leadership Council
_____ Other: _____

6. Articulate a proposed solution that would satisfy this concern:

Please return to: Chair, FIC

Written Petition
Faculty Issues Committee

FIC Petition # _____

Completion of the following information is intended to permit communication from and to the Faculty Issues Committee Chair. The Petition # above will be assigned by the FIC Chair to pages 2 of the petition. The cover will be removed from the Petition to allow blind reviews by the committee and subsequent considerations. The FIC Chair will contact you to let you know when your petition will be introduced to the committee. The petitioner may attend the meeting if he/she chooses.

Petitioner Name: _____

Petitioner email: _____

Petitioner phone: _____

II. Departmental Policies



College of
Education

A. Adding, Revising, and Deleting Courses; Proposing New Programs; and for Offering Independent Study Courses

The College of Education will maintain a systematic process for the approval of new courses and course revisions. Because of the integral way in which courses are related with programs of study and designed to meet specific degree and certification goals, the College of Education has procedures to insure that courses meet high academic standards and are designed to fulfill the goals for degrees and programs of study. Proposals for new courses and revisions must be submitted through appropriate channels and may be initiated by any member of the College faculty. Requests for independent study courses covering didactic work must be submitted using a specific form

1. Introduction

The intent of these procedures is to provide guidance for the approval of new courses and programs, the revision of courses and programs, and modifications to the general studies requirements within the College. Curriculum decisions are generally considered to be the purview of faculty and, in turn, the responsibility for decisions about program and general studies college curriculum rests with faculty. Faculty within each program have the expertise and responsibility for determining course content and the appropriate course of study for program majors within the limits of college resources. This expertise and responsibility must be respected by the faculty and administration of the College of Education. The procedures for proposing and modifying courses and programs function primarily to provide faculty and programs with assistance and consultation in the development of courses and programs. The procedures also insure that the College uses resources effectively and that courses and programs meet standards for high quality. The intent of these procedures is not to make new course or program approval or revisions difficult, but to facilitate a spirit of cooperation, trust, and respect among faculty and administrators.

2. Program Proposal and Modification

Program decisions typically are made by faculty within the program in concert with faculty who have relevant subject matter expertise as well as faculty in other programs whose courses are affected. Decisions about teacher education certification program requirements typically are made first by the program and then by the teacher education faculty. Although program faculty have the responsibility for determining the course of study for program majors, programs share and are constrained by College resources. New programs and program modification that have the potential to have an impact on the resources of the College, Department(s), or other programs should be presented to the appropriate program or programs, Department(s), the Academic Issues Committee, in turn for consultation or approval. It is difficult and probably counterproductive to delineate each and every instance when program changes need to be presented to another program, Department(s), the Academic Issues Committee, for consultation and approval. The decision as to whether a program change requires consultation or approval from another program, programs, Department(s), and the Academic Issues Committee should be made by program faculty with due consideration given to the expertise and responsibilities of other faculty. At the very least, program approval and revisions should be submitted to the Department Head and Dean. Program decisions that have no appreciable impact on other programs should be made by the faculty within the program and presented to the Academic Issues Committee as an information item only.

THE UNIVERSITY OF ALABAMA

Course Inventory

Date _____ Department _____ College _____
 PROPOSAL TO OFFER A NEW COURSE, CHANGE AN EXISTING COURSE, OR DELETE
 AN EXISTING COURSE
 (If proposing a new course please attach a copy of course syllabus for Office of Academic Affairs)

Course No. _____
 Add _____ Change _____ Inactivate _____
Type of modification:
 Title _____ Description _____ Credit hours _____
 Prerequisites _____ Grade Type _____
 Number: Old _____ New _____

Classification of Instructional Programs (CIP) # _____

Title _____
 Short Title (30 characters or less) _____
 FILL IN ALL REMAINING PARTS FOR A NEW COURSE, BUT MARK ONLY THE APPLI-
 CABLE PORTIONS FOR CHANGES TO AN EXISTING COURSE.

DESCRIPTION:

 1. Credit Hours _____
 2. Prerequisites _____
 3. Corequisites _____
 4. Cross Listed (Equivalent Courses) _____
 Cross listed courses refer to the same course offered at the same level by different departments at the same
 time in the same room.

*5. Slash Listed (Equivalent Courses) _____
 Slash listed courses refer to the courses offered by the same department at different levels.
 * Please note policy regarding slash listing of courses for undergraduate and graduate credit on reverse side of
 this page. Attach separate forms for graduate and undergraduate slash-listed courses, and ensure that the cata-
 log descriptions and course requirements reflect the graduate/undergraduate differentiation.

6. Mark one of the following course grading patterns:
 (a) Letter grade _____
 (b) Pass/fail _____
7. Indicate one of the following types of instruction:
 (a) Seminar _____ (b) Lecture _____
 (c) Independent Study _____ (d) Laboratory _____
 (e) Thesis/Dissertation _____ (f) Field Experience _____
 (g) Recitation/Discussion/Quiz _____ (h) Lecture/Laboratory _____
 (i) Activity/Performance/Studio _____ (j) Clinic _____
 (k) Research _____ (l) Online _____
 (m) Blended _____ (n) Lec w/Recitation/
 Discussion/Quiz _____
8. Attributes
 (a) Service Learning _____
 (b) Honors _____

9. If this is a change for an existing course, indicate the nature of the change, and whether substantive
 changes have been made in either course content or requirements, and list programs that might be
 affected by the change.

10. Maximum Repeat: _____ (Total number of credit hours; not total number of times)
11. If the content of this course might overlap with other existing courses, describe your efforts to consult
 other departments about potential course duplication.

Department Head: _____ Signature _____ Date _____
 Dean: _____ Signature _____ Date _____
 Academic Affairs: _____ Signature _____ Date _____
 Graduate School: _____ Signature _____ Date _____
 Institutional Research: _____ Signature _____ Date _____
 University Registrar: _____ Signature _____ Date _____

(Completion of this form does not fulfill needs of revisions of undergraduate or graduate catalogs.)
 Revised 10/08
 See slash-listing on reverse side
 Registrar

3. New Course Proposal

The following procedures should be followed in proposing a new course:

1. The process for proposing a new course usually begins when a faculty member identifies a need for a new course. The faculty member completes a new course proposal packet consisting of a Course Inventory Form, a New Course Proposal Form, and a comprehensive syllabus for the proposed course. The faculty member submits these forms to his or her program coordinator for review.
2. After reviewing the proposed course, the program coordinator seeks the advice and approval of appropriate faculty in the program(s) affected regarding the need for the course, the role of the course in the program(s) of study, and the appropriateness of the course goals, objectives, requirements, and class procedures.
3. If the affected program(s) approve the proposed course, the program coordinator forwards the course to the Department Head. If the Department Head approves the proposed course, he or she sends sufficient copies to the Leadership Council and to the Academic Issues Committee for review and recommendations.
4. The Academic Issues Committee and the Leadership Council will review the proposed course. If both approve the course, the Academic Issues Committee and the Leadership Council will forward their recommendations to the Dean. If the Academic Issues Committee or the Leadership Council does not approve the course, the course is sent back to the Department Head along with a specific rationale for disapproval.
5. Upon the Dean's approval, the course is entered into the online courseleaf approval system and into BANNER. The Department Head is responsible for determining that a comprehensive course syllabus for all newly approved courses is on file in the Department Office.
6. All syllabi requirements noted in the handbook must be included for the review.

**COLLEGE OF EDUCATION
NEW COURSE PROPOSAL FORM**

COURSE NUMBER/NAME: _____

- A. Complete the University of Alabama *Course Inventory Form* and attach it as the cover page to this request.
- B. Attach a syllabus for the course which includes:
1. Course number, title and number of credit hours
 2. Catalog course description, including all prerequisites.
 3. Course goals and specific educational objectives for each major instructional unit.
 4. Required text(s) and/or readings.
 5. Description of required clinical experiences and assignments, if appropriate.
 6. Description of assignments.
 7. Number and nature of examinations, including policy for make-up tests.
 8. Grading procedures for tests and assignments.
 9. Procedures for determining final grades.
 10. Attendance policy.
 11. Policy on academic misconduct.
 12. Policy on reasonable accommodation.
 13. Course bibliography, if appropriate.
- C. Provide the following information for review by the Department Head.
1. *Describe the rationale for the course.*
 2. *Name the proposer of the course and any other faculty who are qualified to teach the course. Describe any specific qualifications and capabilities an individual must have to teach this course.*

Proposer:
Other qualified faculty:
 3. *Indicate the programs(s) of study, majors (s), and/or minors, or other general curriculum in which this course will be included.*
 4. *Indicate how frequently and during which semesters the class will be offered.*

5. *If a fee will be charged for the course, indicate the amount of the fee and describe how the fee will be used.*

6. *Describe the system of evaluation that will be used to determine whether the course should continue to be offered in the future. Discuss the types of data that will be collected and the procedures that will be used to determine the effectiveness of the course.*

D. Provide the following information for review by the Department Head and the Dean:

1. *Describe the resources that will be needed to support the course (e.g., allocation of faculty, space, equipment, library materials, computers, travel, consultant honoraria, and/or other needs). Also, indicate how these needs will be met (e.g., course deletion and reallocation of faculty load).*

RECOMMEND FOR APPROVAL: _____
Department Head **(date)**

E. Provide the following information for review by the Academic Issues Committee:

1. *New Course Proposal Form with required signatures*

2. *List other courses, if any, which duplicate content to be covered in the proposed course and describe discussion with the faculty in the units offering those courses regarding the need for/appropriateness of the course duplication.*

3. *Describe the impact this course will have on other courses and programs of study (e.g., enrollments, course substitutions, course deletions, and total program hours).*

4. *If the course will be cross-listed with another department, attach a written statement from the appropriate department/area head(s) that the materials submitted are required by all departments/areas involved in teaching the course.*

5. *Describe how this course will meet specific curricular requirements in the College (e.g., infusion of multiculturalism across the curriculum, inclusion of special needs across the curriculum).*

RECOMMEND FOR APPROVAL: _____
Chair, Academic Issues Committee **(date)**

APPROVED: _____
Dean **(date)**

4. Course Revisions and Deletions

The following procedures should be followed regarding course revisions:

1. A syllabus should be attached that includes COE and University requirements.
2. Faculty should update course content and procedures regularly. All revisions in the course should be included in a revised course syllabus which should be filed annually with the Department Head.
3. Major revisions in a course should be sent to the program coordinator who seeks the advice and approval of appropriate faculty in the program(s) affected to determine whether the proposed changes are appropriate. If the affected program(s) approve the proposed major revisions, the program coordinator forwards the revisions to the Department Head who must also approve the revisions.
4. A Course Inventory Form with the appropriate number of copies must be completed and sent for review to the Academic Issues Committee for all changes concerning the deletion of a course or change in course number, credit hours, course description, prerequisites, core designations, or title.
5. Unless justification is provided by a program, any course not taught within the past five years will be deleted by the University Registrar's Office.

Courses should be reviewed every two years for each new catalog and unnecessary courses should be deleted. However, unless justification is provided by a program, any course not taught within the past five years will be deleted. Two months prior to submitting courses for deletion to the Office for Academic Affairs or the Graduate School, the Dean's office will provide a list of courses not taught within the past five years to all faculty. Faculty will have one month to submit, to the Department Heads, written justification for maintaining any course targeted for deletion. Department Heads will seek advice of appropriate program and department faculty and will forward their recommendations to the Dean.

5. Application For Independent Study

APPLICATION FOR INDEPENDENT STUDY

(Must be approved prior to registration for the course.)

COLLEGE OF EDUCATION - UNIVERSITY OF ALABAMA

1. Name _____ CWID# _____ Date _____

2. Address _____

3. Telephone Numbers
(Cell) _____ (Other) _____

4. I am a/an (circle one) graduate / undergraduate student majoring in

_____.

I am working toward the _____ / _____ degree/
certification.

Under normal circumstances, didactic courses are not offered via independent study.

I hereby make application to enroll in (prefix and #) _____

(full course title) _____ to be

taught during the _____ term, 20 _____. It is my intention to

complete this course via independent didactic version (if such exists*) of this course is

attached. It is my understanding that I will accomplish those objectives indicated

(highlighted) on the syllabus or those listed below using the following method(s):

(Explain fully how you and the instructor will meet the objectives while not attending

class. Attach extra pages, if necessary.

B. Authorization for Off-Campus Courses

Each request to provide instructional service off-campus must be considered on the basis of its individual merit through the appropriate authorization channels. Faculty must obtain prior approval for teaching College of Education courses which are offered outside of the regular class schedule of the University (i.e., through the College of Continuing Studies [CCS] and the College's International Program). To teach a course through one of these programs, a College faculty member must obtain prior approval from his or her Department Head, the appropriate program director, and the Dean of the College before initiating any action related to scheduling the courses.

Procedure

1. The appropriate Program Coordinator* identifies the need to offer a particular course. May also refer to the directors of these programs/offices: Division of Instructional Programs (CCS), the College's International Program, and other similar roles.
2. The appropriate program coordinator contacts the Department Head involved (on an informal basis) to determine the availability of personnel in his or her Department to teach the course identified and to secure approval for the faculty member's involvement in the course.
3. The Department Head determines the faculty member's eligibility to teach the course.
4. When agreement regarding the course has been reached, the faculty member or the program coordinator prepares the Course Proposal Form and transmits it to the Department Head for signature.
5. The Department Head should sign the form and transmit it as follows:
 - a. To the program coordinator (if the form was prepared by the faculty member).
 - b. To the faculty member (if the form was prepared by the program coordinator).
6. The program coordinator or faculty member will sign the form and transmit it to the college coordinator and the Director of Financial Affairs.
7. The Director of Financial Affairs should review the document for consulting, supplemental compensation, as well as other financial implications and recommend approval to the Dean, if appropriate. (If problems are found, the Director of Financial Affairs will contact the program coordinator to discuss the situation.)
8. The Dean will approve or reject the request and return the form to the Director of Financial Affairs.
9. The Director of Financial Affairs should disburse copies of the document as follows: to the Dean's Office file, to the appropriate Department Head, to the faculty member involved, and to the program coordinator.
10. If the course is canceled, the program coordinator will confirm the cancellation (in writing) to the faculty member and will transmit a copy of the letter to the Dean's Office.

C. Course Duplication

In cases of dispute regarding course duplication, including those arising from committee actions, individuals concerned shall consult the Dean of the College through established channels. The Dean will either negotiate a solution (appeal being possible through established University policies) or seek appropriate committee or other recommendations.

D. Search Committee Procedures

1. Introductory Information

- A. The positions will be/have been posted on <https://facultyjobs.ua.edu/>. Please remember that applicants must submit their application materials through the online system; no emailed or mailed applications can be accepted. However, the online file capacity for writing samples may not accommodate all of an applicant's writing samples. If an applicant cannot upload up to three samples, he/she may email the additional samples to the search chair. The chair then shares those samples with the committee members. The applicant must also upload his/her unofficial transcript. Names, addresses and phone numbers of three to five references should be included with the vita or cover letter, not uploaded as a separate document. The application is not complete until all documents are uploaded.
- B. Review the Web Resource For Recruiting Faculty – The Office of Academic Affairs has developed a new Web resource for those involved in recruiting new faculty, <http://faculty.ua.edu>. The link offers an overview of campus resources for prospective faculty including information on the local community, resources for dual career families and access to current faculty job listings and online job application. The site also is linked from the employment section of the UA home page as well as the academics, faculty and staff, and human resources pages.
- C. Review Human Resources Handouts and Code of Ethics.

- 1. Pre-Employment Inquiry Guide and ADA Policies

- HR Pre-Employment Inquiry Guide

- a. Certain pre-employment inquiries are unacceptable or are considered suspect because of their potential for unlawful discrimination. The following personal information items should be avoided during employment interviews to prevent their influencing or appearing to influence the selection process.
 - b. This guide pertains only to inquiries directed to job applicants as part of the selection process. It does not apply to information secured subsequent to hiring for payroll and fringe benefit purposes or to information requested separately and voluntarily of applicants for affirmative action purposes.
 - c. Pre-Employment Inquiries and the Americans with Disabilities Act

- The ADA has established guidelines as to what types of inquiries may be made at the pre-employment stage of the interview. The following is a list of inquiries that are prohibited by the ADA, followed by a list of acceptable inquiries.

- i. IMPERMISSIBLE Inquiries:

- Asking whether an applicant has a disability.
 - If a disability is visible, asking “spotlighting” questions about the disability—its nature, prognosis, severity, cause or treatment.

- Requesting a medical history or asking the applicant whether he/she has ever received counseling or treatment for mental illness or other specific illnesses or conditions (e.g., back problem).
- Asking about current medications.
- Requiring an applicant to take a pre-employment medical examination.
- Asking about absences due to illness or whether the individual will require leave for medical or related reasons.
- Asking whether the applicant would need a reasonable accommodation to perform the job in question.
- Inquiring about prior on-the-job injuries or past worker's compensation claims.

ii. PERMISSIBLE Inquiries:

- Asking questions about any of the qualifications that are required for the position, including education, experience, licenses, training, required skills, or other minimum qualification standards that are defensibly job-related.
- Asking an applicant about his/her ability to perform each essential function of the job. For example, "this job requires an employee to prepare written reports containing detailed factual summaries and analyses. The reports must frequently be prepared within tight timeframes. Can you perform this function?" Or, "this job requires an employee to transport 20-pound bags from a University van, up two flights of steps to a research lab. Can you perform this function?"
- Giving the individual a copy of the job description that identifies essential functions and asking whether the individual is able to perform all of those functions.
- Requesting an applicant to demonstrate or describe how he/she would perform essential functions of the job if the applicant has a known disability (apparent or voluntarily revealed) and the interviewer legitimately believes that the disability might interfere with performance of an essential job function. (If the applicant requests an accommodation for the demonstration and the accommodation is reasonable, it should be made.)
- Asking about the individual's attendance at prior jobs, if the question is cast in terms of days off for any reason and not limited to days missed due to illness.
- Stating the institution's standards and expectations (e.g., attendance standards or smoking policy) or those for a particular position (e.g., travel, week-end work, or frequent over-time) and asking if the individual can meet those standards.

Pre-Employment Inquiries Guide

| Subject | Acceptable | Not-Acceptable |
|---|---|--|
| Name | Use of any other names or nicknames necessary to check work or education record. | Requirement of prefix, Mr./Ms./Mrs./Miss; Maiden name Inquiries regarding names changed by marriage, divorce, court order, etc.; Inquiries about names which would indicate national origin (e.g. is that a _____ name or what kind of name is that?) |
| Address | Applicant's address How long have you lived in this area/city/state? | Questions regarding foreign addresses which may elicit national origin. Names and relationships of persons with whom applicant resides. Whether applicant owns or rents home. |
| Birthplace | None | Birthplace of applicant, spouse, or other relatives. Any inquiry into national origin. |
| Age | Whether applicant meets legal minimum age requirements or has a work permit. | Age, Birthdate, Questions which tend to identify applicants over age 40. |
| Sex | None | Mr./Miss/Mrs./Ms., or any inquiry regarding gender unless gender has been established as a bona fide occupational qualification (BFOQ). |
| Citizenship | May state that evidence of U. S. citizenship or eligibility for employment will be required prior to employment. | Citizenship: Are other members of your family U. S. citizens? Require proof of citizenship prior to employment. |
| Health, Physical Condition, or Disability | Are you able to perform the essential functions of the job with or without accommodation? (An applicant with a visible disability may be asked to explain or demonstrate how he/she would perform a given task which comprises an essential function of the job.) | Do you have any physical or mental disabilities? Inquiries into the sources, duration or other details regarding any visible disability. Questions regarding receipt of Workers' Compensation. Questions regarding general health, illnesses, absences due to illness which may elicit information about disability. |
| Military Record | Type of education and experience as it relates to job. | Date or type of discharge. |
| Personal Finances | Access to car if job-related. | Credit rating, charge or bank account, personal bankruptcy, past wage garnishment, home ownership, or other financial information. |
| Organizations | Questions about membership in job-related professional organizations (e.g., does an applicant for a position in the English department belong to the Modern Language Association?). | Inquiries about organizations (clubs, societies, lodges) the name or character of which indicates the race, color, religion, gender, national origin or ancestry of its members. |
| Arrest Criminal Record | Inquiry into actual convictions (not arrests) that relate reasonably to fitness to perform a particular job. | Have you ever been arrested? (An arrest is merely the detaining of a person to answer a crime.) Convictions, if not reasonably related to functions and responsibilities of the particular position in question. |

2. Search Committee Code of Ethics

Searches are an opportunity for an institution to demonstrate high ethical standards. Searches done well win the respect and praise of candidates who are offered positions as well as those who are not. In addition, an effective search is an opportunity for the institution to show itself favorably to many groups and individuals (e.g., national references, professional colleagues). To attract the best candidates, to retain until closure those who are most competitive, and to fulfill a responsibility to treat candidates confidentially and ethically, the search committee should commit itself to:

- a. Create a search environment which respects the rights and dignity of all persons
- b. Maintain in strict confidence and in perpetuity:
 - i. All information about candidates secured during the search process (e.g., names, written materials, references)
 - ii. All search committee conversations and deliberations
- c. Put aside personal agendas, biases, or political positions so that each candidate has an honest and fair evaluation
- d. Represent the institution as a whole (Department, College, and University) rather than individuals or group stakeholders
- e. Receive candidate permission prior to reference checking for both references on list and references not on the candidates list
- f. Establish accuracy of information on candidates
- g. Ensure the safety of records after the search is completed retaining search records in compliance with institutional, state, and EEOC guidelines and disposing of records in a manner which retains candidate confidentiality
- h. Follow all by-laws of the institution and laws of the state and nation
- i. Affirm that only the chair of the committee speaks for the committee (Adapted from UA Presidential Search Committee Materials, 2003)

2. Procedures

A. Proactively solicit prospective applicants.

1. The University of Alabama and the College of Education is an Equal Employment/Equal Educational Opportunity Institution. All qualified applicants are encourage to apply, will receive consideration for employment without regard to race, color, religion, national origin, sex, sexual orientation, age, genetic information, disability, or protected veteran status, and will not be discriminated against because of their protected status. The College is committed to increase diversity within the faculty. Committees should ensure a diverse applicant pool.
 - a. Use the SREB Directory; see SREB Scholars Information handout to search for prospective faculty candidates.

- b. The College will place ads with Southern Regional Education Board, Minority Faculty Applicant Database and the Hispanic Association of Colleges and Universities.
 - c. Committees should participate in job fairs, conferences, professional associations, etc. to recruit diverse faculty.
 - d. All search committees are required to report their diversity recruitment efforts. Search chairs, please collect this information and send to April.
- 2. Contact colleagues.
- 3. Email position announcements with directions for submitting online to free professional organizations and professional organizations' list serves. The listing of job openings will be advertised in the Chronicle, Diverse Issues, Inside Higher Ed, etc. The Dean's office will also cover the cost of one singular ad at a discipline-affiliated outlet of your choice.
- 4. Take copies of announcements with directions for submitting online to conferences (contact Michelle Vanderburg for copies).
- 5. Inform your search chair where you send the announcement so that information can be collected for April's office. Search chairs, please collect this information and send to April.
- B. Log on to faculty jobsite <http://facultyjobs.ua.edu/hr> to review applicants (see Online Faculty Recruitment handout). Have rubric/guidelines for reviewing applicants (see Applicant Evaluation Form).
 - 1. Determine if pool is viable.
 - 2. Review unofficial transcripts to verify appropriate degree/courses.
 - 3. Rank order applicants.
 - 4. Decide a short list that the search committee will interview via Skype. The committee can interview as many candidates as they choose via Skype. Skype interviews are required prior to any on-campus interviews (and permission from OAA is required prior to all interviews, including Skype interviews, see #3-4).
- C. Discuss the interview list with your Department Head prior to contacting the Dean. The search committee chair will send an email to the Dean and copy his/her Department Head and April Robinson. The email must request permission to interview these candidates and the rationale for the selection. Make sure to include April in these requests as she is the OAA contact person for interviewing approval.
- D. April will email the Search Committee Chair after the Dean and Provost have approved the candidates for interview.

- E. After confirmation of the approvals to interview, the Search Committee Chair may contact the candidates to arrange Skype interviews.
- F. Search committee interview candidates via Skype.
 - 1. During interview, must obtain permission to contact references.
 - 2. If candidates do not give permission to contact references, please notify the Dean and April and await further instructions.
- G. Contact references:
 - 1. Review HR Reference Checking Guidelines and HR Reference Check Helpful Hints.
 - 2. Get permission from applicant before contacting references, see #6a.
 - 3. Develop a standard set of questions for references (see Sample Questions for References).
 - 4. Determine who will contact which references.
- H. Rank applicants after interviews and reference calls. Determine which candidates, if any, will be interviewed on campus. The top TWO candidates may be brought to campus for visits (must have permission from Dean to invite more).
- I. Discuss the finalists with your Department Head prior to contacting the Dean. The search committee chair will send an email to the Dean and copy his/her Department Head and April Robinson. The email must request permission to bring the final candidates for on-campus interviews and provide the committee's rationale for selecting the finalists. The Department Head must also email the Dean with his/her approval.
- J. April or Dean will email the Search Committee Chair after the Dean has approved the candidates for on-campus interview.
- K. After confirmation of the approvals to interview, the Search Committee Chair may contact the candidates to invite them for campus interviews. Search Chair must inform candidates that their names will be shared with other faculty not on the search committee, that his/her name will become public. If candidates do not give permission to make name public, please notify the Dean and April and await further instructions. Try to schedule campus visits in close proximity of time.
- L. Candidate Travel Arrangements: The method of travel for the candidate needs to be the most economical method. Per UA Travel Policies "when traveling at the University of Alabama's expense, travelers should, in all cases, seek to obtain the lowest possible fares and rates by scheduling their travel in the manner that will be the most economical to the University"; this includes the travel method as well as the timing of arrangements. The Search Committee Chair must request that the candidates make travel arrangements as quickly as possible (they must make & pay for flight arrangements, not the College). All flight arrangements should be made at least two weeks in advance to receive the best rate and ensure full reimbursement to the candidate. Make sure each candidate gets a

Candidate Expense Report (see example) prior to leaving (include stamped, addressed envelope) [Melanie O'Rear, 348-6052, will provide stamped, addressed envelope if you provide the information to her].

M. Develop itinerary for candidate visit (see Sample Itinerary) [Chair should take responsibility for this, not a staff member].

1. Work out transportation from and to Birmingham airport.
2. Faculty must complete a Travel Authorization and an Instate Travel Expense Voucher in order to get reimbursed for travel associated with candidate visits.
3. Make hotel reservations. (Hotel Capstone and Hampton Inn are most convenient; also Fairfield Inn and Holiday Inn Express). Your staff person should be able to complete the billing on a department P-card; they will need to enter "Dean" in reference field and follow standard procedure for reconciling items on the Dean's FOAP. Ask Deb Bonner at 348-1446 or Elizabeth Wade at 348-5510 if questions arise.
4. Start with Dean to schedule meetings.
 - a. Other meetings for faculty positions may include: Department Head; Associate Deans; department faculty; search committee; research presentation; undergraduate and graduate students; K-12 school teachers and principals. Someone on the search committee or in the home department should coordinate these school visits.
 - b. The Provost has not usually requested meetings with faculty nor Department Head candidates; if you believe it is important to include Provost Benson on the interview schedule, please review this with the Dean. If he approves, contact Beverly Baker, the Provost's assistant, at 8-4892 or beverlybaker@ua.edu.
5. Faculty can use a department P-card (preferred) or must complete an Entertainment Expense Form and a Miscellaneous Disbursement Voucher in order to get reimbursed for entertaining costs associated with candidate visits. If using a P-card, your staff person will need to enter "Dean" in reference field and follow standard procedure for reconciling items on the Dean's FOAP. Limit meals:
 - a. for breakfast: 2 faculty
 - b. or lunch: 3 faculty
 - c. for dinner: 3 faculty
 - d. one person should pay entire bill at each meal (preferably a search committee member)
 - e. save original, itemized receipts; they are required for P-card statement or for reimbursement [credit card slips with a total only are not acceptable documentation]

- f. tip amount can be up to 20%
 - g. no alcohol on receipt
- 6. Email the itinerary to the candidate prior to his/her arrival.
- 7. Plan the visit well; allow enough time for faculty to make arrangements to be present for research presentations, meetings, etc.
- 8. Email candidates' itineraries and vitae to your department colleagues, those meeting with the candidates, the Dean's Office, and others you believe appropriate (the search chair must print the candidates' vitae from the on-line system and make copies for distribution or scan and send as an email attachment).
- 9. Send the research presentation announcement and vita to the faculty distribution list.
- 10. Candidates for on-campus visits enjoy receiving a packet of information about the Tuscaloosa community, the University, and the College. You might want to include a copy of The Capstone Educator, the COE Annual Report, the University Quick Facts, and/or information from the Chamber of Commerce (go to the Chamber and pick up the various brochures available at no charge). You may also want to include information about the school systems.
- N. Distribute feedback forms to all who interacted with candidates (see Candidate Feedback Form).
- O. Search Committee must meet for confidential deliberations.
- P. The Search Committee Chair must meet with his/her Department Head.
- Q. After the discussion with the Department Head, the Chair must send an email to the Dean and copy his/her Department Head and April. The Department Head must also email his/her approval to the Dean.
- R. In the email, the Chair lists the following:
 - 1. "Acceptable" or "Unacceptable" votes for all final candidates, and
 - 2. "Strengths and Weaknesses" summary of all final candidates,
 - 3. However, DO NOT rank candidates.
- S. The Dean will determine the finalist and forward the request to make an offer to the Provost (OAA) for approval (Dean will copy April on this request).
- T. After OAA approves the finalist, the Dean will make an offer. Only after OAA has approved the finalist can the offer be made.
- U. Finalist will be contacted by UA Human Resources to submit information directly to an outside vendor for a background check.

V. Finalist will be required to submit “official” transcript(s) of all graduate level work to Dean’s Office prior to employment.

W. After finalist has accepted position, the Search Chair should:

1. Send April the list of candidates not selected for interviews indicating either:
 - a. Does not meet minimum requirements
 - b. Less experience than candidate(s) selected for interview
 - c. Less education than candidate(s) selected for interview
 - d. Less experience and education than candidate(s) selected for interview
2. Work with Michelle Vanderburg to compose letter to all unsuccessful applicants/candidates.

X. Notes:

1. Maintain integrity and confidentiality during the search process.
2. Candidates are assessing us as we assess them.
3. We will email you this list and all of the handouts.

3. SREB Scholars Information

The *SREB Doctoral Scholars* are excellent prospects for faculty positions. Please make certain your search committees for faculty positions are using this resource.

How to Access the Directory

1. Go to <http://home.sreb.org/dsp/scholardirectory2.0/>
2. At the top of the page, enter the following login information:
 - a. Login Name: jwilliam@bama.ua.edu
 - b. Login ID: RC01112 (use zero in the Login ID, not the letter 'O')

OR

- a. Login Name: uadiverse@alabama.edu
 - b. Login ID: RC02813 (use zero in the Login ID, not the letter 'O')
3. Click on Search Scholar Directory on left side of page.
4. Select Education from Field of Study drop down box.
5. Refine search further by selecting items from Major and/or Fellowship Program drop down boxes.
6. Contact potential candidates and urge them to apply.

III. Teaching



College of
Education

A. Ordering Library Materials

The faculty member who identifies the need for library materials should notify an Education Librarian in writing or via e-mail providing as much information as possible about the item requested. Librarians may be reached in writing via e-mail, or the link from the Library's web site can be used: <http://www.lib.ua.edu/forms/matpurchase.htm>

1. Recommendations for books, periodicals, media and other electronic resources are welcome.
2. The Education Librarian will review the holdings of the University libraries to determine if the materials requested are already available.
3. If available, the Librarian should notify the faculty member of the location of the needed materials.
4. If unavailable, the Librarian shall order the materials, if sufficient budgetary resources exist, and notify the faculty member when the item is available.

B. Posting of Office Hours

To facilitate the scheduling of appointments, meetings, and the delivery of messages and to establish emergency contact information, office hour forms should be completed by all faculty at the beginning of each semester.

The forms are distributed by the Department office and should be completed by faculty during the first week of each semester. Faculty should post one copy of the form on their office doors, and one copy should be turned in to the Department office.

| | |
|--------------------------|--|
| Name: _____ | Semester/Year: _____ |
| Office # : _____ | Office Telephone #: _____ |
| Office Days/Hours: _____ | Person to Contact for Appointment: _____ |
| _____ | |
| _____ | |
| _____ | |
| _____ | |

CURRENT CLASS SCHEDULE

| | | | | |
|-----------------------|------------------------|-------------|-----------|-------------|
| <u>Course #/Title</u> | <u>Room #/Building</u> | <u>From</u> | <u>To</u> | <u>Days</u> |
| _____ | | | | |
| _____ | | | | |
| _____ | | | | |
| _____ | | | | |
| _____ | | | | |

Copy Distribution:

1. Faculty
2. Department Office

C. Syllabi for Courses

The course syllabus describes the purposes, objectives, and requirements of a course. A comprehensive course syllabus serves as notification to students of their course-related responsibilities and assists external accrediting agencies in understanding how the course relates to overall program, degree, and/or certification requirements.

The College of Education **recommends** the following minimum requirements for information which should be included in a course syllabus. These requirements are not designed to constrain the format of the syllabus but to identify the types of information which are necessary to describe adequately the purpose of and requirements for a course. Because courses vary widely in purpose, not all syllabus requirements will be equally appropriate to all courses.

Minimum Syllabi Requirements

1. Course Title and Number
2. Semester
3. Number of Credit Hours
4. Instructor Name
5. Office Location
6. Office Hours
7. Office Phone
8. University Email
9. Course Catalog Description, including all prerequisites
10. University Core Designation, if appropriate
11. College of Education Conceptual Framework statement

The vision of the College of Education (COE) at The University of Alabama is to develop effective, ethical, and reflective professionals who advance the theme of the COE: Unites, Acts, and Leads (UA Leads). By engaging in theoretically informed and intellectually advanced effective practice our graduates will

UNITE with the larger community to collaboratively nurture cultural competence, empathy, and a vision of equity and justice for all learners;

ACT to develop the full potential of all learners to be excellent professionals in their field; and

LEAD through continuous research-based critical inquiry of policy and reflective practice to enable transformative change in our diverse local and global communities.

12. Conceptual Framework Image

13. Course Overview

14. Rationale for the Course

15. Knowledge Base

16. Course Methods

17. Course Objectives and Student Learning Outcomes

18. Course Texts and Readings

19. Description of Clinical Experiences and Assignments, if appropriate

20. Assignments, Related Requirements, and Due Dates

21. Make-Up Policy

22. Written Assignments. All materials for the course should be carefully prepared, processed, and proofread. A specific style manual should be followed in consultation with the instructor of the course.

23. Student Assessment

24. Program Goals, if appropriate

25. Course Bibliography, if appropriate

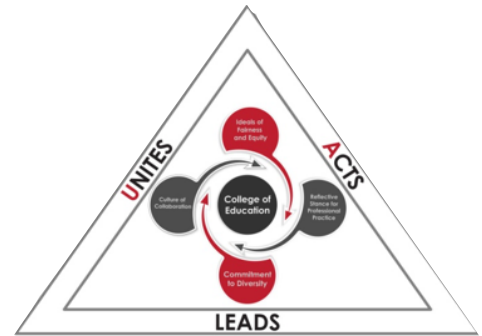
26. Course Outline describing schedule of topics, dates, and related information and resources.

27. Attendance Policy

28. Academic Work Duplication. Any submission of academic work designed to meet the requirements of a particular credit-bearing course is assumed to be work completed for that course and only that course; the same material submission, or material that is substantially similar, may not be used to meet the requirements of another course. Any violation of this rule may result in a referral to the Associate Dean for Student Services and Certification for disciplinary action.

29. University Policies

- a. Policy on Academic Misconduct. "All acts of dishonesty in any work constitute academic misconduct. The Academic Misconduct Policy will be followed in the event of academic misconduct."
- b. Statement of Equal Treatment and Disabilities. The instructors and students in this course will act with integrity and strive to engage in equitable verbal and non-verbal behavior with respect to differences arising from age, gender, race, physical ability, and religious preferences.



- c. Statement of Equal Treatment and Disabilities. If you are registered with the Office of Disability Services, please make an appointment with the instructor as soon as possible to discuss any course accommodations that may be necessary. If you have a disability but have not contacted the Office of Disability Services, please visit 133B Martha Parham East or call 348-4285 to register for services.
- d. Policy on Plagiarism: Plagiarism is the act of representing the words, data, works, ideas, computer program or output, or anything not generated by the student as his or her own. Plagiarism may be inadvertent or purposeful; however, plagiarism is not a question of intent. The course instructor must report all suspected incidences of plagiarism to the Dean. Plagiarism is considered a serious act of academic misconduct and may result in a student receiving an F in the course and being suspended from the University. For more information, see <http://facultysenate.ua.edu/handbook/append-c.html>.
- e. Severe Weather Guidelines: The guiding principle at The University of Alabama is to promote the personal safety of our students, faculty and staff during severe weather events. It is impossible to develop policies which anticipate every weather-related emergency. These guidelines are intended to provide additional assistance for responding to severe weather on campus.

UA is a residential campus with many students living on or near campus. In general classes will remain in session until the National Weather Service issues safety warnings for the city of Tuscaloosa. Clearly, some students and faculty commute from adjacent counties. These counties may experience weather related problems not encountered in Tuscaloosa. Individuals should follow the advice of the National Weather Service for that area taking the necessary precautions to ensure personal safety. Whenever the National Weather Service and the Emergency Management Agency issue a warning, people in the path of the storm (tornado or severe thunderstorm) should take immediate life saving actions.

When southwest Alabama is under a severe weather advisory, conditions can change rapidly. It is imperative to get to where you can receive information from the National Weather Service and to follow the instructions provided. Personal safety should dictate the actions that faculty, staff and students take.

University Relations will disseminate the latest information regarding conditions on campus in the following ways:

- i. Weather advisory posted on the UA homepage
- ii. Weather advisory broadcast over WVUA at 90.7 FM
- iii. Weather advisory broadcast over WVUA 7

WVUA 7 Storm Watch provides a free service you can subscribe to that allows you to receive weather warnings for

Tuscaloosa via e-mail, pager or cell phone. Check <http://www.wvua7.com/stormwatch.html> for details.

In the case of a tornado warning (tornado has been sighted or detected by radar; sirens activated), all university activities are automatically suspended, including all classes and laboratories. If you are in a building, please move immediately to the lowest level and toward the center of the building away from windows (interior classrooms, offices, or corridors) and remain there until the tornado warning has expired. Classes in session when the tornado warning is issued can resume immediately after the warning has expired at the discretion of the instructor. Classes that have not yet begun will resume 30 minutes after the tornado warning has expired provided at least half of the class period remains.

D. Instructor and Course Evaluation

Instructor and course evaluations are conducted during the last two weeks of the semester prior to the beginning of the final exam schedule. All College of Education courses except dissertation research and independent study must be evaluated and an email from The Office of Institutional Research & Assessment (OIRA) is sent to faculty verifying courses to be evaluated. The OIRA then collects data using the Student Opinions of Instruction and transfers results to the Faculty Activity Report and through the faculty tab of myBAMA. Faculty are expected to provide teaching evaluations when submitting requests for reappointment, tenure/promotion and merit pay.

E. Requesting Textbooks

Textbook information is requested from the University of Alabama Supply Store (SUPE) via email. The following is a sample email message from the SUPE Store.

Subject: ATTN REQUIRED: Please Submit Your Textbook Information!

The University Supply Store (SupeStore) needs your help with course materials information for the Summer 2015 term! This information is due on XXXXX, XX, XXXX. We've included a list of sections that need your attention, and you use can use your personalized link below to start selecting your course materials or to let us know you are not requiring a text.

=====

Your Personalized Link

=====

<http://ua.verbacollect.com/XXXXXXXXXXXXXXXXXXXX>

=====

Your Section Assignments

=====

You are assigned to submit textbook adoptions for:

* X sections.

So far, you have submitted a textbook adoption for 0 sections.

The following X sections need a submission from you:

* Summer 201X Courses - ____ 200 - Instructor

* Fall 201X Courses - ____ 300 - Instructor

=====

Reminders & Information

=====

Course Materials Information Due Dates:

Spring - October 1

Summer - March 15

Fall - April 15

F. Dean's Policy On Student Complaints

1. Step 1

- a. Student raises the issue with the faculty member involved.
- b. Faculty member and student try to resolve the issue based on facts.
- c. After this meeting, student or faculty member writes a brief memo, signed by both, indicating the resolution to the problem.
- d. If there is no resolution, student and faculty member sign a brief memo indicating points of continuing disagreement.

2. Step 2

- a. Student raises the issue with the program coordinator, who receives in writing the material from steps 1a-1c.
- b. Program coordinator and student try to resolve the issue based on facts.
- c. After this meeting, student or program coordinator writes a brief memo, signed by both, indicating the resolution to the problem.
- d. If there is no resolution, student and program coordinator sign a brief memo indicating points of continuing disagreement.

3. Steps 3a-3d.

Process is repeated between student and Department Head, with all written material shared from steps 1a-d and 2a-d. Under normal conditions, problems will be resolved at this level or below.

4. Step 4

If the problem is unresolved, faculty or student may bring it to the Senior Associate Dean to come under University grievance policies.

5. Step 5

The Senior Associate Dean investigates the grievance and provides a summary and recommendation to the Dean.

6. Step 6

The Dean renders a final decision. The student may appeal the Dean's decision to the Office of Academic Affairs.

G. Selection of Faculty Authored Textbooks

In cases where a faculty member desires to use textbook(s), laboratory manuals, computer software, or other materials which he or she has authored or from which he or she receives royalties, the faculty member must:

1. Obtain approval from the Department Head or a Department committee appointed for this purpose. Faculty members requesting self-authored textbook recommendations may not vote on the decision to recommend.
2. After Departmental approval, submit materials to the Administrative Council which include:
 - a. A copy of the book, manual, etc.
 - b. A brief rationale for its use
 - c. A list of the courses in which the authored material will be used
 - d. A copy and/or a listing of the competing textbook(s), manual(s), or related materials, as appropriate.
3. The faculty member must submit the materials above and a written record of the Department's (faculty or committee) recommendation to the Dean for action by the Administrative Council.
4. Whenever possible, recommendations should be submitted three months prior to the beginning of the next semester.
5. The faculty member will be notified of the decision of the Administrative Council by the Dean's Office.

IV. Graduate Supervision



College of
Education

A. Doctoral Course Work

This section includes important policies that pertain to doctoral coursework; please see the Graduate School Catalog (or online at <http://graduate.ua.edu/>) for additional policies and procedures

1. Programs of Study

1. Soon after admission to the Graduate School, each doctoral student is expected to complete the **Outline** of Doctoral Program (or http://graduate.ua.edu/academics/forms/outline_phd.pdf) form. Doctoral programs of study may include course work which has been earned six years prior to the date of the student's admission to the doctoral program. All degree requirements must be completed within **seven years of the date of the student's admission to the doctoral program**. Under unusual circumstances, students may petition for a one semester extension to the seven- year time limit if recommended by the Department Head and approved by the Graduate Dean. If a student fails to complete all degree requirements within seven years of the student's admission to the doctoral program, the student will be dropped from the doctoral program and must reapply for admission. Students may include in their program of study courses that have been earned six years prior to the date of the student's admission to the doctoral program and must complete all degree requirements within six years from admission to the doctoral program.
2. Students who have not completed all degree requirements by the end of the six-year time limit must seek permission to continue in the doctoral program from their doctoral committee and Department Head and the Graduate Dean. If an extension is warranted, then the student must validate all out-of-date courses.

2. Research Courses

1. 12-18 semester hours of research/statistics course work is required in Ph.D. and Ed.D. programs.
2. Doctoral students within the College of Education must complete a minimum of four graduate level research methodology classes, three of which should be BER designation (or equivalent research methodology courses from other colleges).
3. Individual programs may require up to five research methodology classes, including suitable methodology classes within their disciplinary field.

3. Foundations Courses

1. Students pursuing Ph.D. and Ed.D. degrees in the College of Education must satisfy the following foundations requirement: 12 hours of graduate coursework comprising
 - a. any BEF or BEP courses or
 - b. any non-research methods courses outside the student's department.
2. Foundations courses cannot come from the student's major program.

3. Approved by the program of study committee, these classes should introduce the student to theoretical discourses and bodies of knowledge that provide a depth and breadth of understanding necessary for fluency with the research, theory, and scholarship foundational to the student's field of inquiry and dissertation research.

B. Professional Assistance for First-Year Graduates

It is the policy of the College of Education to respond promptly to requests from first-year graduates or their employers for assistance in updating knowledge and/or skills necessary for effective performance. Short-term and/or long-term professional growth plans and continuing education activities will be designed as needed. Requests from first-year teachers, other individuals beginning new professional education roles, or their superintendents will be managed by the appropriate Department Head who may employ any of a variety of response strategies including mentoring, tutoring, workshops, clinics, short courses, etc.

C. Graduate Assistants

1. Dean's Policy On Graduate Assistants

1. Justification must be given for the need for graduate assistant(s). Departments will be requested to prepare a three-year plan indicating the graduate assistantship needs of their programs. This plan will be updated annually.
2. The programs that have good recruitment, mentoring, and retention processes for graduate assistants are likely to maintain or increase their number of assistantships.
3. The programs that have poor recruitment, mentoring, and retention processes for graduate assistants are likely to have their number of assistantships reduced.
4. It is possible for a graduate assistant in one program to be awarded assistantships in another program.
5. Department Heads and program coordinators are urged to publicize possible graduate assistantships via brochures, flyers, or the *Chronicle of Higher Education*. The procedures for applying should be made clear in the publicity.
6. Graduate assistantship applications must include at a minimum: transcripts (from Graduate School), three relevant references (phone numbers and email addresses), and a written statement of competencies, skills, and potential contributions. (Is this correct?)
7. Each Department Head will establish a Department-wide screening committee to review applications based on a set of clear, relevant criteria. This review will occur no later than March 1 of each year. Commitments to graduate assistants prior to this date must be approved by the Department Head in consultation with the program coordinator, using a set of clear, relevant criteria.
8. Assignments should be made no later than May 1 before the fall term when the person is to be employed.
9. The Dean reserves the right to pull any unassigned assistantships back into the Dean's office permanently or temporarily.
10. A formal evaluation procedure must be enacted to indicate in writing what the graduate assistant is expected to do, how the graduate assistant actually performed, and whether the individual will be recommended again for future support.

2. Graduate Assistant Semester Planning Guide

GRADUATE ASSISTANT SEMESTER PLANNING GUIDE

Graduate Assistant _____

Faculty Supervisor _____

Semester _____ Year _____ Department _____

The development of this plan should be facilitated by the faculty supervisor and graduate student and submitted to the Department Head by the end of the third week of the semester during the graduate student's employment.

Please respond to the following for this current semester (add pages as necessary):

- a. List of GA's expected outcomes, accomplishments, and/or products relevant to supervisor's research, teaching, and/or service (i.e., What should the GA produce for his/her supervisor?):

- b. Brief description of assistance to be provided by the faculty supervisor:

For graduate **research** assistants:

List expected outcomes of assistantship relevant to GA's professional growth. Describe expected scholarly outcomes for the GA such as development of a publication and/or presentation resulting from GA's research efforts, contributions to K-12 schools, etc.

For graduate **teaching** assistants:

List expected outcomes of assistantship relevant to GA's professional growth. List GA's specific instructional responsibilities, identifying course(s), enrollment, and specific GA duties. Include expected impact on student learning, contributions to K-12 schools, etc.

3. Graduate Assistant Assessment By Supervisor

GRADUATE ASSISTANT ASSESSMENT BY SUPERVISOR

Graduate Assistant _____

Semester _____ Year _____ Department _____

This form must be completed by the graduate assistant's faculty supervisor(s). Submit it to your Department Head no later than the 13th week of the semester during the graduate assistant's employment. The intention is to provide information that should be used in formative and summative evaluations of graduate assistants.

If you were assigned more than one GA, please use a separate form for each faculty. Please check the appropriate blank to respond to the questions.

| Item | Rating | | | | |
|---|---------------------|------------|----------------|---------------|------------------------|
| | Strongly Agree 5 | Agree 4 | Undecided 3 | Disagree 2 | Strongly Disagree 1 |
| 1. My GA managed his/her time appropriately. | | | | | |
| 2. My GA demonstrated initiative. | | | | | |
| 2. My GA completed the projects assigned to him/her accurately. | | | | | |
| 3. My GA completed the projects assigned to him/her in a timely manner. | | | | | |
| 4. My GA did not require an unreasonable amount of assistance and guidance from me. | | | | | |
| 5. My GA exhibited growth | | | | | |

| | | | | | |
|---|--|--|--|--|--|
| as a professional educator, scholar, and/or researcher. | | | | | |
| 6. My GA met my expectations. | | | | | |

List unfinished or ongoing projects or assignments from faculty supervisor (if not applicable, use N/A).

For graduate **research** assistants: Describe the GA's scholarly work, publications, presentations, etc. resulting from his/her research efforts.

For graduate **teaching** assistants: Provide a specific assessment of your GA's instructional abilities. At a minimum, assess his/her quality of preparation, delivery of instruction, interaction with students, and impact on student learning.

Additional comments:

Should this graduate assistant be employed in a similar role in future semesters? *(Please check the appropriate blank to record your response)*

_____ YES

_____ NO

_____ MAYBE with the following improvements:

Should this graduate assistant be employed in ANY role in future semesters? *(Please check the appropriate blank to record your response)*

_____ YES

_____ NO

_____ MAYBE with the following improvements:

Faculty Supervisor's Signature

Date

4. Graduate Assistant Assessment of Experience

GRADUATE ASSISTANT ASSESSMENT OF EXPERIENCE

Graduate Assistant _____

Semester _____ Year _____ Department _____

This form must be completed by the graduate assistant and submitted to your Department Head no later than the 13th week of the current semester.

If you were assigned to more than one faculty member, please use a separate form for each faculty. Please check the appropriate blank to respond to the questions.

| Item | Rating | | | | |
|--|---------------------|------------|----------------|---------------|------------------------|
| | Strongly Agree 5 | Agree 4 | Undecided 3 | Disagree 2 | Strongly Disagree 1 |
| 1. My assignments were manageable. | | | | | |
| 2. My assignments were clearly articulated. | | | | | |
| 3. My assignments matched those my supervisor and I developed on the Planning Guide. | | | | | |
| 3. I completed the projects assigned to me. | | | | | |
| 4. My faculty supervisor provided adequate assistance and guidance. | | | | | |
| 5. I have grown as a professional educator, scholar, and/or researcher. | | | | | |
| 6. My graduate assistantship met my expectations. | | | | | |

IV. Research



College of
Education

A. Support For Research

1. College of Education Faculty Research Grant Program

Overview

The College of Education's Faculty Research Grant Program is an investment in the continuous growth of faculty and the College. A primary overarching goal of awarding these small grants is to enhance the likelihood that recipients will continue to work on their projects and acquire external funding in the future. Thus, those projects that show the promise of future external funding will be given the highest priority.

Program Funding

Each year, the College of Education Office of Research and Service will budgeted funds for this Faculty Research Grant Program. Assuming the submission of sufficient proposals from each type of applicant and within the more specific guidelines for eligibility outlined below, approximately two thirds of the funding is allocated primarily for award to untenured faculty members as lead investigators, and one third is allocated primarily for award to tenured faculty members as lead investigators who are exploring new research topics/methodologies and/or working with untenured faculty members as co-investigators. Currently, the maximum funding for an individual grant is \$3,000 and funds will be available for use for one year from the date of award notification. Funding for the program is provided through the portion of the indirect cost (F&A) recovery from College of Education grants that remains with the ORS after required indirect cost distributions to project Principal Investigators, COE instructional departments and COE research/service centers. The exact amount of funding each year will depend upon both the amount of IDC generated, and the amount that the College must cover to meet the cost-sharing obligations of faculty grants awarded through the annual University-wide Research Grants Committee process.

Eligible Applicants

Only full-time, tenure-track and clinical faculty members in the College of Education are eligible to apply for these funds as lead investigators. In descending order, the project/faculty funding priorities will be as follows:

1. Non-tenured faculty who do not currently have a balance in other start-up funds from the Dean
2. Tenured faculty collaborating with non-tenured College of Education faculty as co-investigator(s)
3. Tenured faculty working together or alone if the research represents a new line of inquiry OR involves the exploration of a methodological approach that represents a departure from their more typical mode inquiry
4. Other tenured faculty not covered in 2) or 3) above
5. Clinical (non-tenure track) faculty working in collaboration with tenured faculty members
6. Non-tenured faculty who still have a balance in start-up funds from the Dean

In all cases, proposals for collaborative projects – particularly those involving faculty members from multiple programs and/or departments – are strongly encouraged.

The Application Process

The Associate Dean for Research and Service will release a Request for Proposals to the COE faculty via e-mail which includes detailed instructions. Faculty may begin submitting proposals any time after receiving the RFP. Proposals will be accepted and reviewed throughout the academic year, or until all funds budgeted for this research support program have been awarded. Proposals will be submitted to the Associate Dean via e-mail using the required forms and formats. Upon receipt and review for compliance with the guidelines, the Associate Dean will forward the proposal to the Chair of the Research and Faculty Development Committee for peer review. Members of the Research and Faculty Development Committee (RFDC) will review all proposals and make funding recommendations to the Associate Dean.

Proposal Guidelines

Proposals must be no longer than 6 double-spaced pages in length (excluding Applicant Information Sheet(s), budget, references, and appendices/exhibits) and should include the following information:

- Need for and Significance of the Study
- Purpose of the Study
- A brief review of prior research that supports the need for the current study and situates it within the literature and knowledge development particular to the field of study. If the proposed study represents a new line of inquiry for the investigator(s), please indicate how this is the case.
- Methodology – Conceptual/theoretical framework, research questions, research design, population and sample identification and selection, data collection methods, data analysis methods. If this study represents a new method of inquiry for the investigator(s), please indicate that this is the case.
- Plans for disseminating findings
- Budget narrative, including a description of specifically how the funds from the grant will be used and a statement of other funding sources (received or applied for), if applicable
- A description of how this project fits into the researcher's long-term research agenda
- A description of the ways in which this project, if funded, could lead to future externally funded research projects

In addition to the 6-page (maximum) narrative, the proposing faculty member(s) should include the following:

- A completed Budget Form outlining all requested funds by expenditure category (see attached)
- A completed Applicant Information Sheet for each faculty member participating in the proposed project.

- As appropriate, a listing of references and/or appendices/exhibits to support the proposal narrative.

Amount of Available Funding

At present, the maximum award is \$3,000. The amount may vary according to: (a) the needs of the project, (b) the funds available, and (c) the extent to which the applicant has access to other funds, materials, and equipment.

Funding Period

Funds become available upon notice of award. Faculty members will have 12 months to spend funds awarded and complete the funded research project. Funds not expended by the end date of the project will be reallocated by the College of Education Office of Research and Service to fund other projects proposed under this call.

Items for Which Funding May be Requested

COE Faculty Research Grant funds may be requested for graduate student assistance, clerical assistance (e.g., transcribing), teacher or participant stipends, equipment needed for data collection that is not readily available in the COE, travel to data collection sites, and research materials/supplies. If seeking funding to pay graduate or clerical assistants, the function and need of the assistance must be clearly explained in the proposal, including an explanation of how such assistance is beyond what the proposal author already receives from graduate assistants or office staff personnel in her or his instructional department.

Research supplies and classroom supplies may be requested. Classroom materials must be used as part of the research process (e.g., student consumable materials), and may be left in the classrooms at the completion of the research. Specialized software may be purchased for use on a College of Education owned computer (laptop or desktop), and may remain on the faculty member's computer at the completion of the project. Equipment that is requested (e.g., laptop computers, iPads, transcribing machines, instructional technology, etc.) must be justified in the proposal. All equipment must be returned to the College of Education Office of Research and Service at the end of the grant.

Travel expenses are limited to those expenses that are needed for the completion of the research project, including both technical training for the faculty member and data collection activities. The applicant must justify the travel expenses in the proposal very clearly. Travel related solely to presentation of the results of the research at a conference or other venue will not be funded.

Funds may *not* be requested under this call for faculty salaries/benefits, but faculty members are encouraged to also make application to the University-wide Research Grants Committee funding program, which does allow for such funding.

Protection of Human Subjects

Approval of the Institutional Review Board (IRB) is required before the project may begin and costs may be incurred. Information about the IRB can be found at the following website:

<http://cga.ua.edu/site/irb.html>

Change in Project Plan

Before any substantive changes in the original research proposal are made, a written explanation **MUST** be submitted to the Associate Dean for Research and Service for review and approval. Unapproved changes in the research project may result in discontinuation of research funds.

Research Report

All COE Faculty Research Grant recipients are required to submit a report, typically in the form of an article manuscript or conference proposal, at the conclusion of the research period to the Associate Dean for Research and Service. Recipients also must present their research at a meeting determined by the Research and Faculty Development Committee. Those who fail to meet this requirement will not be eligible to receive additional awards through this funding program.

2. Other Research Funding Support

Additional support for faculty research is made available from the Office of the Vice President for Research and Economic Development through the Research Grants Committee. Information on this funding program may be accessed online at http://osp.ua.edu/rgc_grants.html and in Chapter 3 of *The University of Alabama Faculty Handbook*.

B. Allocation of Indirect Cost Funds Returned to College

The current University Policy on the allocation of indirect cost recovery (*University Faculty Handbook*, Chapter Three, Section X. B. 1. Allocation of Indirect Cost Recovery on Sponsored Contracts and Grants) is as follows:

Academic divisions receive the equivalent of at least forty percent of the indirect costs paid by research contracts and grants. One-half of these monies goes to the division, one-fourth to the department or area, and one-fourth to the principal investigator to be used for purposes other than salary for the investigators. These funds provide general support to enhance research programs and activities in the divisions and departments. Each division sets policies for the use of these divisional and departmental funds. Admissible uses include: purchase and maintenance of equipment; printing of pamphlets and brochures showing research capability and results; typing of manuscripts; and taking any other action which has the potential to improve or promote research programs and which is approved by the Vice President for Research and Economic Development and the Comptroller.

Currently, the University Office of Research returns 40% of the indirect funds charged to grant and contract funders to the College. In accordance with the University Policy, the funds returned to the College will be allocated in the following manner:

1. 25% of the returned funds will be allocated to the principle investigator. If there are co-principle investigators, the funds will be distributed proportionally based on the percentages identified on the Office for Sponsored Program's Proposal Summary Form (Internal Coordination Sheet).
2. 25% of the funds will be allocated to the department or departments of the principle investigator(s) proportionally.
3. If the grant or contract is being administered through a center, 25% of the funds will be allocated to the center.
4. The remaining indirect funds will administered by the COE Office of Research and Service. This will be 25% of the returned funds if the grant is administered through a center, or 50% of the returned funds if the grant is not administered through a center.

Please note that all expenditures of these funds must be in accordance with established College and University policies. Consult this site for more information <http://facultyhandbook.ua.edu/x-support-for-research.html>

C. Research Compliance at The University of Alabama

The University of Alabama is dedicated to assisting faculty, research associates, staff, and students in understanding federal, state and university research compliance standards and regulations.

The purpose of the Office for Research Compliance (ORC) is to provide internal oversight on compliance relating to the performance of human and animal research, conflict of interest, scientific misconduct and export control. The ORC's emphasis is to ensure the rights and well-being of human and animal subjects, ensure regulatory compliance, support our investigators and staff, protect the University and advance science.

All research conducted by faculty, staff and students within the College of Education must comply with all federal and state regulations, and with all University policies. Compliance with all guidelines is the responsibility of the Principal Investigator and, when research is being done by students, that responsibility is shared by the faculty member supervising the student's work. For most studies undertaken within the College, the primary areas of concern regarding research compliance are protection of human participants and conflict of interest.

1. Protection of Human Participants – Institutional Review Board (IRB)

1. The purpose of the University of Alabama's Institutional Review Board (IRB) is to ensure the safe and ethical treatment of humans as subjects in research, public service, and training programs. In accordance with federal and university regulations, it is required that the IRB review all research involving human subjects conducted at or sponsored by the University of Alabama regardless of the funding source. The University of Alabama's IRB has a moral duty and obligation to protect human subjects prior to the commencement of any research study and to discontinue any protocol upon notification of irregular activity warranting such action.

Rules, regulations and institutional policies regarding human participants change from time to time. It is the responsibility of the researcher to comply with the guidelines that are currently in force. The Office of Research Compliance posts IRB Notes on their website at <http://osp.ua.edu/site/irb.html> when changes occur. When commencing with a new research project, the investigators should consult this website.

The Research Compliance website at <http://osp.ua.edu/site/irb.html> also has links to all policies, guidance documents and necessary forms related to research involving human participants.

All faculty, staff and students conducting research involving human participants must complete required initial and follow-up training. Information on how to complete this training can be found at http://osp.ua.edu/site/irb_training.html. Researchers who are not certain which training to complete are encouraged to contact the Office of Research Compliance for guidance, as there are multiple options that are required for different types of research. All researchers are responsible for maintaining current training certification. No research project will be approved for which all project personnel do not have current certification.

Prior to the commencement of any research project, it is the responsibility of the principal investigator to submit a protocol for IRB review. This is done electronically via the eProtocol web-based interface at <http://eprotocol.ua.edu:8080/hs/?sa=Online+Protocol+Submission>.

Researchers whose work involves human participants in any way may not independently determine whether or not their project will require IRB oversight. Thus, even for studies which the researcher believes to be exempt should be submitted for review via eProtocol.

Until IRB approval – or the determination by the Office of Research Compliance and the IRB that such approval is not necessary – no data collection may take place. Additionally, for research that is funded by grants (internal or external) or contracts, no expenditures will be allowed in advance of the formal approval of the study.

2. Research at Other Higher Education Institutions

Research conducted by UA faculty, staff and/or students which will take place at other colleges, universities or other educational institutions must receive approval from the UA IRB and the IRB at the host institution in advance of any data collection. It is the responsibility of the researcher to obtain and report the approval of the host institution's IRB as part of her or his UA IRB application.

3. Research in Schools

Those researchers who need assistance in locating and/or gaining entry to conduct research in PK-12 schools may contact the College of Education's Director of School Partnerships.

4. Conflict of Interest Disclosure

The University has developed this policy relating to conflicts of interest applicable to all UA investigators and the policy applies to all sponsored programs, including federal, state, and local government; industry; or not-for-profit sponsors. The policy also covers UA intellectual property licensed to an entity in which a UA investigator owns an interest or serves as an employee, officer, or member of the Board of Directors regardless of the source of funding. The policy is to be administered in conjunction with laws and policies setting forth standards of conduct including Title 42 Code of Federal Regulations (CFR) Part 50, Subpart F; Title 45 CFR Part 94; the Ethics Act of the State of Alabama; and University of Alabama Faculty Handbook, Appendix E, On Preventing Conflicts of Interest in Government-Sponsored Research at Universities.

The University of Alabama's policy on conflict of interest states that, "anyone who is responsible for the design, conduct, or reporting of federally-funded research, regardless of his/her title or role on the project or the receipt of funding must submit a disclosure. This definition includes adjunct faculty, students, volunteers, subcontractors, consultants, collaborators, research coordinators, research assistants, and other research staff."

Conflict of interest training must be completed and a Conflict of Interest Disclosure must be on file with the Office of Research Compliance for all affected personnel prior to the commencement of any new funded research project. No expenditures related to the project may be incurred prior to conflict of interest clearance by Research Compliance.

All affected employees must file an updated Conflict of Interest Disclosure annually during the annual disclosure period, which is currently September 1 through September 30. Additionally, if circumstances change which could affect the employee's status regarding potential conflict of interest at any time during the year, she or he must file a revised Conflict of Interest Disclosure immediately.

Information on the UA Conflict of Interest Policy and the procedures for compliance with the policy can be found at http://osp.ua.edu/site/RC_CoI.html.

VI. Academic Citizenship and Service



College of
Education

A. College of Education Committees

All members of the COE are expected to serve on committees. A list of the COE working committees and descriptions is available on the COE website. See <http://education.ua.edu/faculty-and-staff/college-of-education-committees>

Academic Bankruptcy Committee

Academic Issues Committee

Assessment Committee

Clinical Experiences Advisory Committee

Exceptions Board

Faculty Handbook Committee

Faculty Issues Committee

Faculty Senate (Education)

Graduate Council (Education)

Dean's Student Advisory Committee

Honors Day Committee

Research and Faculty Development Committee

College-wide Tenure and Promotion Committee

COE/Continuing Studies Online Education Committee

Julie Laible Lecture Committee

Wellness Committee

Technology Advisory Committee

Staff Council

B. University Committees

From The University of Alabama Faculty Handbook, “The University maintains a number of University Standing Committees and appoints University Task Forces that deal with special matters not in the purview of a standing committee, to assist the administration in reaching decisions and to ensure representation of appropriate segments of the University community. These committees and task forces make recommendations on issues of concern to the University community, as well as working closely with the President and the Provost/Vice President for Academic Affairs both to oversee the University’s planning process and to help establish University budgetary priorities and allocations. The importance of their work is recognized by giving them access to all information relevant to their missions and by giving them timely written responses to their recommendations. These committees and task forces make annual written reports, which are filed in the Library and are available upon request.”

See <http://committees.ua.edu/section-i.html>

See <http://facultyhandbook.ua.edu/v-faculty-participation.html>

C. Faculty Senate

From The University of Alabama Faculty Handbook, “The Faculty Senate consists of faculty members elected from the various divisions. The Senate aids the University in making decisions on issues of policy, development, and operations by: 1. Offering advice and suggestions on matters of general faculty concern and 2. Providing a channel for communication between the faculty and University officials.

The Faculty Senate’s deliberations and recommendations should reflect the opinion of the faculty at large. Service in the Senate is a high honor, carrying with it responsibility to report to one’s division about the Senate’s activities, to solicit the opinion and advice of divisional colleagues on issues before the Senate, and to represent divisional colleagues in Senate debate and votes.”

See <http://facultyhandbook.ua.edu/appendix-f.html>

2015-2016 Handbook Committee

Colleen Geary

Anne Godfrey

Carl Hancock

Jane Newman

Craig Shwery

Dave Dagley, Co-Chair

Elizabeth Wilson, Senior Associate Dean, Co-Chair

Faculty approval obtained on _____, 2015



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