DEPARTMENTAL POLICY HANDBOOK

DEPARTMENT OF PSYCHOLOGY

COLLEGE OF ARTS & SCIENCES

THE UNIVERSITY OF ALABAMA
PSYCHOLOGY

Table of Contents

Policy Handbook, Department of Psychology

August 2018

This handbook is updated annually and contains information concerning departmental structure, personnel policies, instructional and curriculum issues, graduate program policies, and use of departmental funds. This information does not replace other primary reference sources, for example, the University Faculty Handbook, the Arts and Sciences Faculty Manual, the Graduate Catalog, or the Undergraduate Catalog. The Department also publishes the Graduate Student Handbook, the Experimental Training Manual, the Clinical Training Manual (with Appendices), and the Psychology Clinic Procedures Manual. These are all available on the department website, https://psychology.ua.edu.

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Frances Conners, Ph.D.
Department Chair

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Departmental Structure and Committees

Background

The Department of Psychology was established in 1937 with the transfer of one faculty member and several undergraduate courses from the College of Education to the College of Arts and Sciences. In 1946, with the initiation of a master's program, Psychology became one of the early graduate departments at The University of Alabama. In 1956, planning began for a doctoral program. The first four students were admitted in 1958, and accreditation from the American Psychological Association was obtained in 1959. The first Ph.D. was granted in 1961. Since that time, well over 500 Ph.D. degrees have been awarded and many tens of thousands of undergraduate students have received instruction in psychology.

Administrative Organization

The size of the regular faculty in the Department of Psychology (30, Fall 2018) is modest in respect to the size of its undergraduate and graduate programs, particularly because the faculty has a long-term commitment to research and scholarly productivity. Consequently, it is important to fully utilize the specialized program and administrative skills of the faculty, as well as their research and teaching expertise, to carry out successfully the complex operations of the Department.

All administrators and individual faculty members are responsible to the Chair, Dr. Fran Conners. The Director of Graduate Studies, Dr. Ed Merrill, communicates with the Graduate School. Other program directors and coordinators are as follows:

Dr. Matthew Jarrett	Director of Clinical Psychology
Dr. Randy Salekin	Clinical Child Psychology
Dr. Rebecca Allen	Clinical Geropsychology
Dr. James Hamilton	Clinical Health Psychology
Dr. Karen Salekin	Psychology & Law
Dr. Philip Gable	Director of Experimental Psychology
Dr. Ansley Gilpin	Developmental Science
Dr. Sheila Black	Cognitive Psychology
Dr. Will Hart	Social Psychology
Dr. Kristina McDonald	Director of Undergraduate Studies
Dr. Kristina McDonald	Director of Undergraduate Honors Program
Dr. Clayton Shealy	Director, Psychology Clinic
Dr. Sara Stromeyer	Assoc. Director, Clinical Psychology and Psychology Clinic
Ms. Jennifer Baggett	Interim Director, Autism Spectrum Disorders Clinic
Dr. Megan Davis	Director, UA-ACTS Program

Committee decisions are very important in the life of the department. A description of standing committees is contained in the following pages:

Chair's Executive Committee

Duties:

1. Advise with the Chair on an approximately weekly basis.
2. Reflect the attitudes of other faculty members in advisory action.
3. Provide on-call advice concerning issues that need immediate action.
4. Participate in the formulation of departmental policies to be presented to the faculty.
5. Assist in reviewing or developing plans in response to College or UA requests.

Committee Members: Director Clinical Program
Director Experimental Program
Director Graduate Studies
Director Undergraduate Studies
PGSA President

Chair's Advisory Committee

Duties:

1. Advise with the Chair on approximately monthly basis.
2. Reflect the attitudes of other faculty members in advisory action.
3. Provide on-call advice concerning issues that need immediate action.
4. Nominate individuals for adjunct faculty.
5. Participate in the formulation of departmental policies to be presented to the faculty.
6. Assist in reviewing or developing plans in response to College or UA requests.

Committee Members: Director Clinical Program
Director Experimental Program
Director Graduate Studies
Director Undergraduate Studies
Associate Professor
Assistant Professor
NTRC Faculty
PGSA President and 2 Vice-Presidents

Note: The associate professor, assistant professor, and NTRC faculty members are appointed by the Department Chair on a rotating one-year basis (Sept. 1 - Aug. 30).

Clinical Program Committee

Duties:
1. Evaluate prior year's objectives. Establish program objectives for current year.
2. Formulate policies for the clinical Ph.D. program.
3. Advise with the Director of Clinical Training about issues and problems.
4. Provide an opportunity for the expression of student views and concerns via input from student representatives.
5. Discuss and evaluate clinical student progress, including nonacademic factors.
6. Participate in end-of-year evaluation of clinical students for purposes of passing the student to the next level.
7. Discuss and consider curriculum offerings and quality of instruction offered.
8. Select students for admission.
9. Explore funding sources.

Experimental Program Committee

Duties:

1. Evaluate prior year's program objectives. Establish current year objectives.
2. Formulate policies for the experimental Ph.D. program.
3. Advise with the Director of Experimental Psychology about issues and problems.
4. Provide an opportunity for the expression of student views and concerns via input from student representatives.
5. Discuss and evaluate experimental student progress, including nonacademic factors.
6. Participate in end-of-year evaluation of experimental students for purposes of passing the student to the next level.
7. Discuss and consider curriculum offerings and quality of instruction offered.
8. Select students for admission.
9. Explore funding sources.

Committee on Instruction

Duties:

1. Evaluate progress on prior year's objectives. Establish committee objectives for current year.
2. Review and approve/disapprove proposed new courses, seminars, interim, and Winterim term offerings.
3. Monitor, as needed, the Department Chair's projected fall and spring course offerings.
4. Compile and disseminate information on course syllabi.
5. Evaluate course syllabi and consult with instructors if content appears "light" or out-of-line with other sections of the same course (each fall).
6. Review instructors who are not regular faculty members (each fall).
7. Review, as needed, techniques used to evaluate graduate students, including end-of-year evaluations, the dissertation, and research productivity.

8. Other matters related to undergraduate and graduate instruction.
9. Handle textbook conflict of interest decisions, as the department's Ethics Committee; keep records.

Statistics Committee

Duties:

1. Monitor and recommend revisions of the undergraduate and graduate statistics curriculum.
2. Field requests from students who wish to take statistics courses in other departments to satisfy graduate requirements.
3. Keep records of what courses are approved or not approved.

Undergraduate Advising Committee

Duties:

1. Collate current advising materials. Develop further procedures for effective advising.
2. Monitor transfer of credit issues.
3. Maintain contact with A&S advising personnel.
4. Provide structure for faculty advisors through training sessions, memoranda, etc.
5. Monitor the effectiveness of the advising system and the cooperation of individual faculty members in their advising role.
6. Talk with and meet with prospective students
7. Work with the UA Career Center to inform students regarding possible career directions; provide information to students on graduate school preparation

Undergraduate Curriculum Committee

Duties:

1. Evaluate prior year's objectives. Establish current year's objectives.
2. Review the current status of the undergraduate program and make recommendations concerning future directions.
3. Develop and maintain procedures to assure a quality undergraduate program.
4. Work toward alignment of the undergraduate psychology curriculum with APA recommendations
5. Interface with departmental committees. In particular, a close working relationship with the Committee on Instruction is needed.
6. Provide recommendations for experiential learning in courses and other formats

Undergraduate Awards/Events Committee

Duties:

1. Nominate students and faculty for awards relating to the undergraduate program.
2. Review the current status of the Honors Program and make recommendations concerning future directions.
3. Organize Freshman reception, Majors/Career night, and the undergraduate portion of Honors Day

Undergraduate Assessment Coordinator

Duties:

1. Devise and submit assessment plans and reports for undergraduate learning
2. Design and distribute assessment instruments to faculty and students
3. Collate data from assessment instruments and student surveys

Psi Chi Chapter / Psychology Club Sponsor

Duties:

1. Facilitate the activities of Psi Chi Honorary and Psychology Club.
2. Maintain a file on each year's activities.
3. Other duties as appropriate to student member needs.

Diversity Committee

Duties:

1. Enhance departmental efforts in recruitment of a diverse faculty.
2. Coordinate student diversity recruitment efforts, working in cooperation with the admission committees.
3. Maintain a file of yearly minority student recruitment activities, beginning with the earliest year in which information is available.
4. Provide each fall for new minority student orientation to Department, University, and Community.
5. Identify sources of funding and recognition for minority students and faculty and encourage applications.
6. Identify psychology trainees to invite for campus visit under the Young Minority Scholars Program

Colloquium Committee

Duties:

1. Coordinate the department's colloquium presentations, including Dinoff and Basowitz Memorial Lectures.
2. Produce each fall a tentative schedule of times, topics, and presenters.
3. Seek funds, as appropriate, for colloquia support.
4. Publicize each presentation --posters, notices, and other channels as appropriate.
5. Summarize each year's colloquia activities. Establish goals if appropriate.

Committee on Research/Research Overhead

Duties:

1. Coordinate policies regarding PY101 subject pool.

2. Promote the research mission of the department.

3. Lead the development and updating of criteria for the disbursement of overhead funds.

4. Review and fund research overhead proposals.

Note. The Department of Psychology Research/Research Overhead Committee consists of 6 faculty members. Members will be appointed for 2-year terms. In collaboration with the chair of the department, the committee members will elect a chair and chair elect of the committee at the beginning of each academic year. The past chair of the committee may or may not also serve to facilitate institutional memory.

IRB "Issues" Committee

Duties:

1. Study faculty and student concerns about the UA Institutional Review Board (IRB)
2. Conduct surveys and otherwise gather relevant information
3. Identify barriers to efficient and timely human subjects research review at UA
4. Prioritize issues and suggest solutions to identified barriers.
5. Communicate the concerns and suggested solutions to departmental stakeholders.

Library Liaison

Duties:

1. Interface with A&S and the Library Staff concerning orders, available funds, etc.
2. Communicate with faculty as needed about these issues.

Publicity Liaison

Duties:

1. Work with University Media Relations to publicize accomplishments of department and departmental members.
2. Maintain a list of faculty and their expertise.
3. Initiate nominations for faculty awards.

Website Committee

Duties:

1. Keep the departmental website information current and complete.
2. Scan sections of the departmental website on a regular basis for things that need fixing.
3. Suggest improvements in the departmental website.
4. Arrange for photos to be taken and used on the departmental website.

Social Media Committee

Duties:

1. Keep the department Facebook site current.
2. Take photos at departmental events and post to the department's Facebook page.
3. Consider social media outlets other than Facebook.

Newsletter Committee

Duties:

1. Publish a full newsletter every 1-2 years and send to alumni.
2. Publish an abbreviated newscard in alternate years and send to alumni.

Creative Team (inactive as of 2017-2018)

Duties:

1. Gather information on existing departmental innovative practices.
2. Gather information on existing external innovative practices.
3. Generate ides for innovation.
4. Design yearly projects.
5. Implement yearly projects.

Development Committee (inactive as of 2016-17)

Duties:

1. Monitor gift accounts.
2. Explore new opportunities for giving.
3. Suggest strategic purposes for gift funds
4. Stay in communication with donors so they can see how their money is being put to use.
5. Welcome any award recipients' families during Honors Day as well as family members of donors.

Space Allocation/Utilization Committee (inactive as of 2016-17)

Duties:

1. Assess needs of the department in relation to current space available.
2. Make suggestions regarding renovations.
3. Possible reassignment of space.

Personnel Policies

Faculty Responsibilities

Faculty contribute to the teaching, research, and service mission of the Department. The Department has six types of faculty – tenure-track/tenured faculty, clinical faculty, non tenure-track renewable contract faculty (NTRC), 3-year renewable Full-time Temporary Instructors (3-year FTTI), 1-year Full-time Temporary Instructors (FTTI), and Part-time Temporary Instructors (PTTI). All variations in usual faculty effort must be approved by the Department Chair.

1. **Tenure-track/tenured faculty** are responsible for research, teaching, and service. Ordinarily, these shall be weighted at 40% teaching (assuming 2 courses taught/semester), 40% research, and 20% service. Variations to this effort distribution arise when faculty have formal administrative duties, reduced teaching loads due to salary buyout from grants, etc. In addition, faculty whose primary appointment is in a center or institute typically have reduced teaching loads and increased research loads on a regular basis. All tenure-track faculty contribute to the department's graduate and undergraduate teaching mission. The normal teaching load usually includes at least one undergraduate course per year and one graduate course every other year. However, this can vary based on departmental needs and faculty teaching load.

2. **Clinical faculty** are responsible for a specific combination of clinical, administrative, teaching, and/or service activities, as specified in their appointment agreement. They typically have no research component to their position. Promotions but not tenure are possible for Clinical faculty.

3. **NTRC faculty** are responsible for teaching and service. They have no research component to their position. Typically, the weighting for evaluation purposes is 80% teaching and 20% service, with the typical teaching load at 4 undergraduate courses per semester. Promotions but not tenure are possible for NTRC faculty.

4. **3-year FTTI faculty** are responsible for teaching and service. Like NTRC, they have no research component to their position, and their FTE is typically 80% teaching and 20% service. Neither promotions nor tenure are possible for 3-year FTTI faculty.

5. **1-year FTTI faculty** are responsible for teaching and service. They have no research or service component to their position, and their FTE is typically 100% teaching. Their appointments are typically from August 16 through May 15, but in unusual cases, they can be appointed for a single semester. Neither promotion nor tenure is possible.

6. **PTTI faculty** are paid per course. In a given semester they may teach one course or more than one course, depending on the arrangement made with the Department Chair.

Annual Faculty Member / Department Chair Spring Conference

Each continuing tenure track/tenured, clinical, NTRC, and 3-year FTTI faculty member completes an online Faculty Activity Report (FAR) and meets with the Department Chair on an annual basis to evaluate the prior year's accomplishments and to establish goals for the coming year. Goals are established in the areas of research, teaching, service, and administration based on the faculty member's specific appointment or agreement with the Chair. The FAR website can be found at https://far.ua.edu. The College of Arts and Sciences hosts seminars for new faculty to familiarize them with the FAR system.

Graduate Faculty Appointment

The purpose of the Graduate Faculty in the Department of Psychology is to set standards for graduate work, provide graduate instruction, provide mentorship to graduate students, and serve on thesis/dissertation committees.

I. Categories of Graduate Faculty Membership

A. Full membership: 6-year term. Full members of the Graduate Faculty participate in the graduate program by teaching 500- and 600-level courses, chairing or co-chairing thesis and dissertation committees, serving as members of thesis and dissertation committees, and advising masters and doctoral students.

B. Associate membership: 6-year term. Associate members of the Graduate Faculty participate in the graduate program in all the ways that Full members participate, except that they do not chair thesis and dissertation committees (they may co-chair these types of committees).

C. Temporary membership: 3-year term. Temporary members of the Graduate Faculty participate in the graduate program by teaching 500- and 600-level courses and serving as members of thesis and dissertation committees. They may also co-chair a thesis or dissertation committee along with a full member.

II. Full and Associate Members: Criteria and Procedures for Application and Review

A. UA General Criteria for Full and Associate Members
- Must hold a Ph.D. or other terminal degree and hold the rank of at least Assistant Professor in a full-time, tenure-track position.
- Must demonstrate ability and continuing interest in the graduate program and in research or creative activity. *Full members* must show a strong, continuing record of productive research, publication, creative activity, and scholarly activity appropriate to the discipline.

These broad requirements are best interpreted by each department and college considering their unique aspects.

B. Psychology Department Specific Criteria for Full and Associate Members
Note. Associate Members must meet the first criterion below; Full members must meet both criteria below.

1. <u>Continuing interest in the graduate program</u> may be demonstrated by a combination of the following:
- Actively participating on graduate program committees (e.g., Clinical Program Committee or Experimental Program Committee)
- Teaching graduate-level courses
- Supervising thesis/dissertation research
- Regularly serving on thesis/dissertation committees

Most faculty will meet this criterion in one of the following ways, although other ways of meeting this criterion may be considered at the discretion of the Graduate Faculty in Psychology:
- Teaching two or more graduate-level courses (including practicum supervision) in the past 3 years
- Supervising two or more thesis/dissertations in the past 3 years
- Teaching one graduate-level course and supervising one thesis/dissertation in the past 3 years

New faculty may also meet this criterion by demonstrating active participation on the Clinical Program Committee or the Experimental Program Committee.

2. <u>Continuing record of productive research</u>, may be demonstrated by a combination of the following:
- Research publications
- Research grants funded
- Research presented at professional conferences

Most faculty will meet this criterion by demonstrating 6 or more research publications in the past 6 years (reprinted publications, popular press articles, book reviews, and test reviews are not counted). However, other ways of meeting this criterion may be considered at the discretion of the Graduate Faculty in Psychology. Faculty with 1-5 years of postdoctoral experience may meet this criterion by demonstrating an average of 1 or more research publications over their postdoctoral years. Faculty with less than 1 year of postdoctoral experience will not meet this criterion and will not be eligible for the Full Graduate Faculty in Psychology.

C. Application Review

Application review for Full or Associate graduate faculty in psychology (including 6-year renewals) typically takes place during the fall semester. By September 1, the Director of Graduate Studies will notify faculty who are eligible to apply or renew. To apply, faculty will provide a CV and recent years' faculty activity reports (FARs) to the Departmental Administrative Assistant. Typically, these are already kept on file in the department and there is no need to submit additional copies. If preferred, an applicant may submit a list of his/her qualifications instead of granting access to his/her recent FARs. Also, if additional materials are required to demonstrate that the applicant meets departmental graduate faculty criteria, these may be provided by the applicant or requested by the Director of Graduate Studies. The Director of Graduate Studies will review applicants' materials and report to a review committee consisting of all departmental faculty who are members of the Graduate Faculty. The review

committee will then vote on approval of the applications, with recommendations determined by a majority vote of the members present. When dictated by time constraints, this vote may be taken by email. Associate graduate faculty members will only vote on applications for Associate membership.

The recommendations of the review committee are forwarded to the Psychology Department Chair, who reviews the recommendations and indicates his/her agreement or disagreement. These recommendations and the application materials (CV and FAR or other materials) are then forwarded to the Dean of the College of Arts and Sciences, who reviews the recommendations and indicates his/her agreement or disapproval. These recommendations and application materials are then forwarded to the Dean of the Graduate School, who also endorses or rejects the application.

D. Appeal Process
If an applicant disagrees with the recommendation of the review committee, he or she may appeal that recommendation to the Department Chair by providing clarification of the application, additional information in support of this application, or any other rationale for reconsideration of the decision made at that level. The Chair will provide this material to the review committee and request that they reconsider the application. The Chair will also consider this material in making his or her recommendation to the Dean of the College of Arts and Sciences. Similarly, if the applicant disagrees with the recommendation of the Chair, he or she may provide (in writing) additional materials to the Dean of the College of Arts and Sciences and request reconsideration of the application at that level.

In cases in which the Dean of the College of Arts and Sciences feels that such action is warranted, he or she may appoint an ad hoc committee to review the application. This committee will review the application and any additional material submitted by the applicant, the departmental review committee, or the Psychology Department Chair. They may interview any of the parties involved in the review process. This committee will submit its recommendation, in writing, to the Dean of the College of Arts and Sciences, with notification to all parties involved. The Dean of the College of Arts and Sciences will communicate the recommendation of this committee, along with his/her own recommendation, to the Dean of the Graduate School. The applicant will also have the opportunity to provide additional material in support of his/her application at this point. 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 the application. The applicant can terminate the review process at any stage by requesting that his/her application be withdrawn from consideration.

III. Temporary Members: Criteria and Procedures for Application and Review

A. Criteria for Temporary Members
Temporary membership in the Graduate Faculty of the Department of Psychology may be extended to well-qualified individuals who do not satisfy the criteria for Full or Associate Graduate Faculty, to perform specific functions for specific time periods, not to exceed three calendar years.

B. Appointment Procedures

When an individual who is not on the Full or Associate Graduate Faculty at the University of Alabama commits to a specific function in the graduate program (usually, but not limited to, serving on a thesis or dissertation committee), he or she should submit a CV to the Department of Psychology Administrative Assistant. The Director of Graduate Studies will present the nomination to the Departmental Graduate Faculty for a vote to recommend the candidate for Temporary Graduate Faculty. This recommendation is given to the Department Chair, who forwards it (along with his/her own recommendation) to the Dean of Arts & Sciences, and then to the Dean of the Graduate School. The Department of Psychology ordinarily votes on recommendations for Temporary Graduate Faculty two times a year, in mid-fall and mid-spring semesters.

IV. Change in Graduate Faculty Status due to Retirement

Full and Associate members of the Graduate Faculty who retire maintain the same status (Full or Associate) for one year following retirement. Thereafter, they may be appointed as Temporary Graduate Faculty if they are contributing in specific ways to the graduate program in the department (e.g., serving on thesis/dissertation committees, teaching graduate courses, supervising graduate students). The procedures for appointing retired faculty as Temporary Graduate Faculty are the same as for any other candidate. However, retired faculty are still considered "inside" committee members even when they are Temporary Graduate Faculty.

Adjunct Appointments

The purpose of the adjunct appointment is to recognize those individuals who are making a formal or informal teaching or research contribution to the department, particularly in a specialty or advanced area. Psychologists and other behavioral scientists within the University and the local-regional community who have continuing involvement with the department may be considered for this appointment. The adjunct faculty appointment carries no specific responsibility but may include teaching, service on committees, supervision of students, research collaboration, etc. The appointment implies no monetary commitment from the department, the college, or the university. No implication of tenure earning status or permanency shall be made.

To be considered, the candidate must have a Ph.D. in psychology or other terminal professional or academic degree and professional involvement with the major concerns of the department. Upon nomination by any faculty member and submission of a CV, the faculty at a scheduled faculty meeting will elect the nominee by two-thirds majority of the voting faculty members present. If there are no objections, this vote may be taken by email. The rank designation should conform to recognized criteria or their equivalent. Each appointment is for one year only. No later than May of each calendar year, the Chair's Advisory Committee will review adjunct faculty from the current year, evaluate their prospective contributions during the current year and make recommendations to the faculty for reconsideration as appropriate. Nominations are routed to the A&S Dean's office, which finalizes the appointments and sends an appointment letter to the adjunct faculty member.

Faculty Search Committees

The Chair shall form faculty search committees. **Appendix B** provides full details of the search procedures.

Faculty and Graduate Student Voting Privileges

At the Department level, voting privileges are reserved exclusively for tenured, tenure track, NTRC, 3-year renewable FTTI, the Director of the ASD Clinic, and the Director of the Psychology Clinic.

1. The Department is composed of two Programs: Experimental and Clinical. All persons who have departmental voting privileges also have voting privileges in one of the Programs.
2. The Programs are composed of 7 Concentrations: Cognitive, Developmental, Social, Clinical Child, Clinical Health, Clinical Geropsychology, and Psychology & Law. All persons who have Departmental voting privileges also have voting privileges in one of the Concentrations.
3. The voting members of Concentrations may award voting privileges to colleagues who do not have Departmental voting privileges. The Programs do not have such authority. An exception is HDFS and ISSR faculty who are core to the Developmental Science and Social concentrations will have both Concentration and Experimental Program voting privileges.
4. Two graduate student representatives, the experimental and clinical vice-presidents shall have full voting privileges in department meetings, except for matters of tenure, promotion, and evaluation of students. See **Appendix A** for a complete description of the role of graduate students in the functioning of the department.

Departmental Faculty Meetings

Department meetings are scheduled for the first Wednesday in each month of the academic year, with exceptions as necessitated by circumstances. Agenda items may be submitted at any time. Attendance of two-thirds of the eligible voting faculty shall represent a quorum.

Procedures for Yearly Fall Retention/Progress Review

Each year, tenure-track probationary faculty and NTRC faculty undergo review by the department's Tenure and Promotion committee. For tenure-track probationary faculty, this is called a *retention review*; for NTRC faculty, this is called a *progress review*. Each faculty member undergoing retention or progress review submits a dossier in the FAR system by October 1. The dossier focuses on the faculty member's performance and productivity in the previous academic year up to submission of the dossier. For tenure-track faculty, this includes teaching, research, and service; for NTRC faculty, this includes teaching and service. If a faculty member undergoing retention/progress review has an administrative or clinical responsibility, performance and productivity in these areas are also included in the dossier.

By **August 30**, the Department Chair appoints a review subcommittee for each candidate undergoing retention/progress review. This review committee consists of two faculty members. For tenure-track candidates, the subcommittee must consist of tenured faculty, including (when possible) at least one faculty member with expertise in the candidate's area of research. For NTRC candidates, the subcommittee may consist of a combination of tenured faculty and NTRC faculty at higher rank than the candidate. At least one member of the subcommittee for a given candidate should change from year to year to permit the maximum number of faculty to become acquainted in detail with the candidate's record. The subcommittee thoroughly reviews the candidate's dossier and presents the candidate's credentials to the department's Tenure and Promotion Committee at its fall meeting.

The department's Tenure and Promotion Committee provides a written evaluation of the candidate's credentials based on the information in the candidate's dossier. The committee's evaluation is posted in the candidate's FAR and forwarded to the Department Chair. For tenure-track candidates, the Tenure and Promotion Committee's evaluation includes a recommendation (by vote) as to retention for another year. For NTRC faculty, there is no retention recommendation and no vote. The Department Chair reviews the candidate's dossier and provides a separate evaluation, posted to the candidate's FAR, and forwarded to the Dean of the College of Arts and Sciences. The Dean does the same and, for tenure-track faculty, makes the final retention decision.

First-year tenure-track faculty are evaluated for retention in January based on their first semester of performance and productivity. The due date for their retention dossier is in early January and the Tenure and Promotion Committee convenes in mid-January to evaluate the dossier and make a retention recommendation. The Department Chair and Dean, in sequence, will each write separate reviews, and the Dean will make the final retention decision. First-year NTRC faculty are not reviewed mid-year.

In the fourth year, tenure-track faculty undergo a more comprehensive and detailed retention review than in other years. This review focuses on the progress that the person has made towards meeting the requirements for tenure. Thus, candidates prepare a dossier that emphasizes the past year's performance and productivity in the context of the past three years. The purpose of the 4th-year review is to establish whether the person's contributions to research, teaching, and service demonstrate a trajectory that, if maintained, will allow the person to meet the expectations for tenure. More detailed feedback in each area of teaching, research and service will be given to candidates at this time in order to ensure that each person has a realistic understanding of how to successfully meet the tenure criteria. The Tenure and Promotion Committee, Department Chair, Dean, and Provost will each provide written evaluations and recommendations for retention (in this sequence). The Provost will make the final retention decision.

Procedures for NTRC 3-year Contract Renewal Review

Third-year NTRC faculty will be evaluated for 3-year renewal using the procedures similar to those described for yearly fall progress review. However, before the NTRC faculty submits the Oct 1 dossier, the Department Chair and the Dean will determine whether there is continued need and available resources for the position. If there are both, and the Department Chair determines

that the candidate has met threshold criteria (see College of Arts and Sciences Personnel Policies for NTRC Faculty, Appendix E) the review will proceed in a manner similar to the previous years' progress reviews. However, this time, the dossier should emphasize the last year's performance and productivity <u>in the context of the past two years</u>. Also, the Tenure and Promotion Committee and Department Chair (each, in sequence) will not only provide a written evaluation, but also will provide a recommendation regarding contract renewal. The Dean will provide a written evaluation and make the final decision regarding renewal.

Procedures for Tenure and Promotion Review (Tenure-track and Tenured Faculty)

NOTE: The present section refers to tenure and promotion review procedures for tenure-track and tenured faculty. For promotion review procedures for NTRC faculty, see Appendix E.

The department identifies three main categories of performance by which candidates are evaluated for tenure and promotion: teaching competence, research productivity, and service contributions. No faculty member is exempt from performance evaluation in the areas designated for their position. Teaching competence and research productivity are the primary categories by which candidates are evaluated; however, for those candidates whose faculty role requires an atypical commitment to service or administration, that area receives appropriate consideration in proportion to that commitment. A statement of the department's tenure and promotion policies is included in Appendix C. Candidates should bear in mind that the dossier, as described in Appendix C, functions as a persuasive argument for the candidate's promotion or tenure. The department's policies align with the College of Arts and Sciences *Policies and Procedures for Retention, Tenure, and Promotion*, which can be found on the College's website. They also align with The University's *Criteria and Standards for Promotion* and *Criteria and Standards for Awarding Tenure to Probationary Faculty,* which can be found in Chapter 2, Sections III and IV of the University of Alabama (UA) Faculty Handbook.

By **May 1**, upcoming candidates for tenure and/or promotion are identified by the Department Chair to the Dean's office. By **June 1**, candidates supply the Department Chair with a list of 10-14 potential external reviewers to evaluate their scholarly record. This list should include the name of the potential reviewers along with their titles, affiliations, and email addresses. The Tenure and Promotion Committee and the Department Chair can add names of potential external reviewers to that list. The final list of external reviewers to be contacted will be determined by the Department Chair and the Chair of the Tenure and Promotion Committee. University policy requires that the applicant's dossier must have at least 4 letters received from reviewers. The reviews are confidential.

Also by **June 1** candidates provide a statement of research, teaching, and service to the Department Chair along with a current CV and 4 reprints. These materials will be provided to the external reviewers. At some point these materials may be made available to the external reviewers directly from the FAR system. The statement of research, teaching, and service focuses mostly on research, and provides a qualitative description of the candidate's contributions to the field.

No later than **August 30**, the Department Chair appoints a three person subcommittee to review

the dossier of each person to be considered for tenure and/or promotion. Dossiers are submitted by **Oct. 1.** Each subcommittee thoroughly reviews the candidate's dossier, presents the candidate's credentials to the full Tenure and Promotion Committee, and makes a non-binding recommendation to this committee.

The Departmental Tenure and Promotion Committee comprises all tenured members of the psychology faculty. The position of chair of the Tenure and Promotion committee rotates annually among all full professors of the psychology faculty, with a new chair assuming the role each August. The Department Chair maintains the rotation list. New Full Professors are entered at the bottom of the rotation list. The Tenure and Promotion Committee reviews dossiers for retention, promotion, and tenure and considers the recommendations of the review subcommittees. The committee to consider applications for promotion to full professor will consist of all full professors. Tenure and Promotion Committee votes will be recorded and transmitted to the Department Chair. The Chair of the Tenure and Promotion Committee will also prepare a letter summarizing the committee's comments and votes.

Procedures for Tenured Associate Professor Periodic Review

As an option, tenured Associate Professors may be reviewed every third year, at the discretion of the Department Chair and the faculty member, as the faculty member moves toward promotion to Full Professor. A subcommittee of Full Professors will be appointed by the Department Chair to perform the review. The review will take place during the regular tenure/promotion/retention review cycle. Thus, by **Oct. 1**, Associate Professors being reviewed will submit to the subcommittee a brief statement of plans for promotion, the most recent year-end FAR, and an updated CV. They may also choose to submit a statement of research impact and teaching effectiveness, but this is optional. By **Nov. 1**, the subcommittee will provide written feedback to Associate Professors who are undergoing review.

Policy for Non Tenure-Track Renewable Contract (NTRC) Faculty

The Department follows the College of Arts and Sciences' Personnel Policy for NTRC faculty (approved November 2017). This policy is included in Appendix E.

Departmental Policy on Consensual Relationships between Students and Faculty

1. Preamble. The University of Alabama Faculty Handbook (Appendices I and J) describes the policy regarding sexual harassment and consensual sexual relations. University policy regarding consensual relationships between faculty and students is less detailed than the departmental policy. The purpose of this policy is to specifically apply the Ethical Standards of Psychologists (2010 Revision) to the area of consensual relationships between students and faculty. The particular principles of the Ethical Standards for Psychologists (2010 Revision) which pertain to this departmental policy are listed immediately below:

   Principle A: Beneficence and Nonmaleficence
        Psychologists strive to benefit those with whom they work and take care to do no harm.
        In their professional actions, psychologists seek to safeguard the welfare and rights of

those with whom they interact professionally and other affected persons and the welfare of animal subjects of research. When conflicts occur among psychologists' obligations or concerns, they attempt to resolve these conflicts in a responsible fashion that avoids or minimizes harm. Because psychologists' scientific and professional judgments and actions may affect the lives of others, they are alert to and guard against personal, financial, social, organizational or political factors that might lead to misuse of their influence. Psychologists strive to be aware of the possible effect of their own physical and mental health on their ability to help those with whom they work.

Standard 3.05: Multiple Relationships

a. A multiple relationship occurs when a psychologist is in a professional role with a person and (1) at the same time is in another role with the same person, (2) at the same time is in a relationship with a person closely associated with or related to the person with whom the psychologist has the professional relationship, or (3) promises to enter into another relationship in the future with the person or a person closely associated with or related to the person.

A psychologist refrains from entering into a multiple relationship if the multiple relationship could reasonably be expected to impair the psychologist's objectivity, competence or effectiveness in performing his or her functions as a psychologist, or otherwise risks exploitation or harm to the person with whom the professional relationship exists.

Multiple relationships that would not reasonably be expected to cause impairment or risk exploitation or harm are not unethical.

b. If a psychologist finds that, due to unforeseen factors, a potentially harmful multiple relationship has arisen, the psychologist takes reasonable steps to resolve it with due regard for the best interests of the affected person and maximal compliance with the Ethics Code.

c. When psychologists are required by law, institutional policy, or extraordinary circumstances to serve in more than one role in judicial or administrative proceedings, at the outset they clarify role expectations and the extent of confidentiality and thereafter as changes occur. (See also Standards 3.04, Avoiding Harm, and 3.07, Third Party Requests for Services.)

Standard 3.08: Exploitive Relationships

Psychologists do not exploit person over whom they have supervisory, evaluative, or other authority such as clients/patients, students, supervisees, research participants, and employees. (See also Standards 3.05, Multiple Relationships; 6.04, Fees and Financial Arrangements; 6.05, Barter With Clients/Patients; 7.07, Sexual Relationships With Students and Supervisees; 10.05, Sexual Intimacies With Current Therapy Clients /Patients; 10.06, Sexual Intimacies With Relatives or Significant Others of Current Therapy Clients/Patients; 10.07, Therapy With Former Sexual Partners; and 10.08, Sexual Intimacies With Former Therapy Clients/Patients.)

2. Rationale. The University's educational mission is promoted by professionalism in faculty-student relationships.   Professionalism is fostered by an atmosphere of mutual trust and respect. Actions of faculty members and students that harm this atmosphere undermine professionalism and hinder fulfillment of the University's educational mission. Trust and respect are diminished when those in positions of authority abuse, or appear to abuse, their power.

Faculty members exercise power over students, whether in giving them praise or criticism, evaluating them, making recommendations for their further studies or their future employment, or conferring any other benefits on them. Amorous relationships between faculty members and students are inappropriate when the faculty member has professional responsibility for the student. Voluntary consent by the student in such a relationship is questionable, given the fundamentally asymmetric nature of the relationship. The faculty member involved in the amorous relationship may be in a position to favor or advance one student's interest at the expense of others. Moreover, the judgment of other faculty members in respect to that student may be affected. In addition, relationships among students may be adversely altered.

3. Consensual amorous relationships in the instructional context. Therefore the department will view it as unethical if faculty members, graduate assistants, or any other instructional personnel engage in amorous relations with students enrolled in their graduate or undergraduate classes, or otherwise subject to their influences, even when parties appear to have consented to the relationship. Spheres of influences include but are not limited to the supervision of teaching, research, practica and student activities. No faculty member shall have an amorous relationship with any graduate student currently enrolled in the department, because such a student would be at least indirectly subject to the influence of the faculty member.

4. Other consensual relationships. Any relationship between instructional personnel and students not covered in the above section, which might be construed as a conflict of interest, is to be avoided.

Departmental Policy Regarding Employment of Members of the Same Family

I. Employment of Members of the Same Family
The University of Alabama's University's Consensual Romantic Relationships Policy, Policy # 130.00 can be found at http://hr.ua.edu/hr-policy-manual. The Faculty Handbook links to the University policy regarding employment of members of the same family (i.e., Nepotism Policy, #202.00). This policy states:

> The University of Alabama permits the employment of qualified relatives of employees of the employee's household or immediate family as long as such employment does not, in the opinion of the University, create actual conflicts of interest. For purposes of this policy, "immediate family" is defined as a spouse, child, parent, sibling, grandparent, grandchild, aunt, uncle, first cousin, corresponding in-law, "step" relation or any member of the employee's household. The University will use sound judgment in the placement of related employees in accordance with the following guidelines:

- Individuals who are related by blood, marriage, or reside in the same household are permitted to work in the same University department, provided no direct reporting or supervisor to subordinate relationship exists. That is, no employee is permitted to work within " the chain of command" when one relative's work responsibilities, salary, hours, career progress, benefits or other terms and conditions of employment could be influenced by the other relative.

- Related employees may have no influence over the wages, hours, benefits, career progress and other terms and conditions of the other related staff members.

- Employees who marry while employed, or become part of the same household are treated in accordance with these guidelines. That is, if in the opinion of the University, a conflict arises as a result of the relationship, one of the employees may be transferred at the earliest practicable time. Any exceptions to this policy must be approved by the Administration of the University.

The Psychology Department policy outlined below is more detailed than the University policy. The goal of the departmental policy is to reduce potential areas of conflict when two members of the same family (e.g. spouses, parent-child, etc.) are both employed or seeking employment as faculty members in the Psychology Department. In general, the departmental policy is that faculty members are expected to excuse themselves from any situation in which they are placed in an evaluative or judgmental role for their spouse, parent, or child. Potential conflict may arise in issues of hiring and recruitment, tenure and promotion, supervisory evaluations, and student evaluations. Each of these areas is separately addressed in the following sections.

A. Hiring and Recruitment. Should the family member of a current faculty member apply for an open faculty position within the department, the current faculty member may not participate in any recruitment activities. Specifically, the current faculty member may not be a member of the faculty search committee, may not read or evaluate applicant files, and may not participate in departmental discussions or votes regarding hiring decisions for that position. Additionally, the current faculty member may not participate in any interviewing activities involving any applicant including his/her family member (e.g., interviews, attending colloquiums). A faculty member may, however, attend departmental receptions for an applicant who is a member of his/her family.

B. Retention, Tenure, and Promotion. Should the family member of a tenured faculty member be considered for retention, tenure, or promotion within the department, the tenured faculty member may not participate in any discussion or vote involving issues of retention, tenure, and promotion of his/her family member. However, a tenured faculty member may participate in discussion and voting regarding other faculty members being considered for retention, tenure, and promotion at the same time as his/her family member.

C. Supervisory Evaluation. If a faculty member has a departmental role (e.g. Department Chair) that involves supervisory evaluations of a family member, a senior departmental faculty member (designated by the Dean) will be appointed to make decisions in matters

involving potential conflicts of interest. This person shall report directly to the Dean and not the Department Chair in this area. Areas of potential conflict of interest include annual merit evaluations, salary raises, distribution of departmental resources, course load, and handling of any grievances.

D. Student Evaluations. To avoid potential conflict of interest, family members who are not engaged in collaborative research will be discouraged from serving as members of the same student thesis or dissertation committees. However, family members engaging in collaborative research may both serve as members of the same student thesis or dissertation committees. In such cases, it is recommended that at least one other departmental faculty member be present on the student committee. This will necessitate adding a fourth person to thesis committees.

II. <u>Student Family Member</u>

In the rare instances where a family member of the faculty is a student (or potential student) the following guidelines will be observed:

A. Recruitment, Admissions, and Financial Support. The faculty member will excuse him/herself from discussion or votes on issues denoted above.

B. Teaching and Supervision. Family members should avoid being in a teacher-student or supervisor-trainee role unless such relationship is unavoidable because of curriculum requirements. In such instances, the faculty member should seek peer consultation regarding grades and evaluation.

III. <u>Other Considerations</u>

In general, faculty members respect the privacy and individuality of their colleagues and students. In the context of family members, care should be taken to seek (or communicate) relevant information directly from (to) the faculty member or student rather than to rely on a family member for such purposes

Distribution of Departmental Overhead Funds
(Rev. 12/09/2014)

A university policy that directs 10% of overhead costs back to the department of the grantee has provided a small amount of funds for departmental use. These funds are used to support the research mission of the department. The Department of Psychology Research Overhead Committee (N = 6 faculty members + 1 graduate student) reviews the amount of money available at the beginning of each academic year and sets the spending guidelines for the year. Members are appointed for 2-year terms. In collaboration with the chair of the department, the committee members elect a chair and chair elect of the committee at the beginning of each academic year. The past chair of the committee may or may not also serve to facilitate institutional memory.

Grant Specialist Salary

Beginning in 2014-2015, the department has used a portion of its Research Overhead funds to pay half the salary of our Grant Specialist. The other half of the salary has been paid by the Dean's Office.

Startup for Newly Hired Tenure-Track Faculty

The department devotes some of its Research Overhead funds to startup up expenses for newly hired tenure-track faculty. Typically, the department pays 25% of the startup expenses negotiated during the hiring process, over a span of 2-3 years.

Faculty Research Support Grants

Faculty members can each request a total of $1,500 per year to support their research. There is no limit to the number of requests made by faculty as long as the total does not exceed the allocated amount. The amount of money requested for joint faculty proposals will be credited equally among faculty making the request.

Grant funding is permissible for funds associated with faculty research at all phases of the research process, from obtaining requisite skills or equipment (e.g., methodology workshops, software) through dissemination of results (e.g., conference travel to present research findings, publication costs). However, requested funds must be clearly linked with a specific research plan or project and may not be used for activities that are not research-related. Examples of research costs supported in the past few years include: (1) stipend for research participants; (2) purchase of testing materials; (3) travel for data collection; (4) software for data collection or analyses; (5) travel to learn specialized assessment or data analysis techniques; (6) printing, photocopying, and postage costs associated with survey research; and (7) specific equipment necessary to conduct proposed research. All equipment and software purchased with these grants become departmental property when the project is completed.

An additional $1,000 per faculty member per year is available to support pilot research that is necessary for large-scale grant submissions. These funds are to be reserved for new research that

expands the faculty member's research program beyond its current focus that will result directly in development of a new grant application. Pilot funds may not be used to support or supplement ongoing research.

Requests for overhead funds should be submitted to the chair of the Research Overhead Committee using the online Research Overhead Committee Faculty Research Support form. This form includes a brief description of research goals, justification for requested funding, and a budget. To find this form, go to psychology.ua.edu and click Resources for Faculty at the very bottom of the page. The Research Overhead Committee will review this request and consider funding on a case-by-case basis when questions arise about whether research overhead funds are the appropriate means for funding a request. Any request that does not receive consensus support from the Research Overhead Committee or seeks funds exceeding $1,500 for regular requests and $2,500 for pilot funding requests will be funded based on majority rule.

Funds are made available for use during the current academic year. Funds that are not spent during the academic year in which they were requested will be returned to the Research Overhead account. A new request will be needed to obtain funds for the next academic year, even when the purpose of the fund request has not changed.

Faculty Travel Awards

Faculty members who have travel costs that exceed the travel allowance provided by the department, may request up to an additional $300 per year in funds through the Research Overhead Committee. Requests for travel funds should be submitted online and should include the name of the conference, the conference dates, and the amount of money needed to cover costs. To find this form, go to psychology.ua.edu and click Resources for Faculty at the very bottom of the page.

Grant Submission Incentive Awards

Incentive awards will be made to faculty submitting proposals for external funding as principal investigator with direct cost budgets that exceed $25,000. An award for $500 will be made for each research proposal submitted up to $1,000 in an academic year. If several faculty serve as co-principal investigators on a grant application, the incentive money will be divided between co-principal investigators. Departmental faculty members submitting a subcontract component as subcontract principal investigator to a grant proposed by a collaborator outside of the department or university will be eligible for the entire incentive award depending upon the amount of the subcontract. Principal investigators submitting revised versions of previously submitted applications will also be eligible for this award. The award is not applicable for Letters of Intent, however, only for full proposals. Faculty associated with the Psychology Department and who serve as principal investigators, but who do not hold a PY academic appointment, are only eligible for this award if the proposal will result in a contribution to the Psychology Department's research overhead funds should the proposal be funded. Faculty serving as co-investigators on a proposal are not eligible for this award.

External Grant Reviewer Support

Faculty members submitting large-scale competitive grants may request up to $300 per grant application to pay an external reviewer to read and suggest recommendations prior to grant submission. Requests for external grant reviewer funds should be submitted to the chair of the Research Overhead Committee and should include the name of the reviewer, the funding mechanism being pursued (e.g., R01), and a very brief description of the grant (1-2 sentences will suffice).

Graduate Student Research and Travel Awards (Revised Oct. 2015)

This support is provided in conjunction with the applications for research and travel funds awarded by the Graduate School each fall, spring, and summer semester. These funds support research-related travel as well as thesis, dissertation, and independent research projects.

The priority rules for funding are:
1. Only one award per year per student.
2. No retroactive awards.
3. Travel awards - must personally present at a national conference your own research, as first author.
4. Research awards – must be for thesis or dissertation.

The psychology department awards research and travel funds to students three times per year, corresponding to the timing of the Graduate School awards. Currently, all students who meet criteria receive an award from the department and are nominated for Graduate School Research and Travel Award matching funds. Starting in 2017-2018, the Graduate School is offering to provide up to $300 for research awards and up to $500 for travel awards ($800 for international travel). Also as of 2017-2018, the College of Arts and Sciences is offering to provide some matching funds as well, as available. The Graduate School will match the combined department + college amount up to their limits ($300 for research, $500 for domestic travel, and $800 for international travel). <u>Specific amounts awarded from the department are determined at the beginning of each year based on available money from departmental research overhead and the expected number of applications for funding</u>. In 2017-18, the departmental award was $200 and the student's mentor could contribute up to $50 to request maximum matching funds of $250 from the College and $500 from the Graduate School (for travel). The call for applications occurs in August, January, and April, along with guidelines and restrictions for that round.

First-Year Graduate Student Travel Support

First-year graduate students are encouraged to attend research conferences in their specialty area. The department will provide $300 for each first-year student to attend a conference. Students wishing to receive these funds should complete the Beginning Graduate Student Travel Support form. This form includes a brief description of the link between the proposed conference and student career goals, a signature of support from the student's research advisor, and a budget. The Research Overhead Committee will review this request before a decision is made when questions arise about whether travel requests are appropriate for this funding mechanism.

Undergraduate Honor's Thesis Support

This funding may be used for either research or travel, with undergraduate students specifying which type of support they wish to receive (a student could apply for either, but not both). Current honors student mentors sometimes take the students to conferences to present their work and meet potential graduate school mentors.

Undergraduate students enrolled in the Psychology Department Honor's Program may request up to $300 to support their independent research project. Students may make this request in either their junior or senior years in the program but may not receive more than $300 during their enrollment in the program. Students wishing to receive these funds should complete the Undergraduate Honor's Thesis Research Support form. This form includes a brief description of research goals, justification for requested funding, signature of approval by faculty research mentor, and a budget. The Research Overhead Committee will review this request discuss the request before a decision is made when questions arise about whether research overhead funds are the appropriate means for funding a request, with majority rule.

Participant Recruiter

Pending the availability of funds, approximately $3,000 per year will be used to support a staff person who will assist faculty in recruiting research participants.

Department Chair's Discretionary Fund

Each year approximately $20,000 in overhead funds will be given to the Department Chair (if available) for discretionary use in support of the research mission of the department. These requests are not ones that are normally funded by the ROC, and are ones that usually require rapid decision making by the chair. At the end of each academic year, the Chair will provide the Research Overhead Committee with an itemized summary of disbursements from the funds.

$5K Pilot Funding Support

Depending upon availability of funds, the Research Overhead Committee may be able to support two competitive research award for faculty research support ($5,000 year that could be used to support research costs or summer salary). One pilot grant will be awarded to untenured faculty and one will be awarded to tenured faculty. These competitive mechanisms will be announced during the Fall semester and will depend on availability of funds. Each of these mechanisms will be reviewed by the Research Overhead Committee before a decision is made.
Minimum eligibility requirements
1. The grant being sought for which this pilot funding is provided must cover a minimum of two years and 20% of principal investigator commitment per academic year. Exceptions are allowed for untenured faculty pursuing initial grants that may restrict the time period or PI commitment (e.g., R03, J series, K series, or foundation grants).

2. The grant proposal being sought for which this pilot funding is provided must be completed no later than the proposal deadline submitted in the application for pilot funds.
3. Cross-disciplinary grants (with Principal Investigators from other departments) are eligible assuming that the psychology faculty collaborator devotes at least 20% FTE of academic year and indirect costs are returned to the department at a rate commensurate with faculty and student involvement in the project.

Review Criteria.

1. Faculty must submit a request detailing the projected pilot grant activity to be considered. Requests should be submitted to the Chair of the Research Overhead Committee. Requests meeting the eligibility criteria will be entered into competition with all other requests received for that round.
2. Requests must include the following information (6-page limit, double-spaced):
   - Potential external grant agency
   - Tentative budget plan (e.g., PI commitment, # research assistants, co-investigators)
   - Background and significance of research problem
   - Approach of proposed research
   - Tentative schedule for writing external grant proposal
   - Previous reviews (if available)
   - Faculty grant and publication history
3. The review of requests will be conducted by the Research Overhead Committee in collaboration with the Department Chair.
4. Primary decision criteria include the quality of the project and its likelihood of being funded. Hence, the Research Overhead Committee will consider issues such as the priority score (when available), tenure status or grant history of the faculty member, and availability of funding in the given research area.

Faculty receiving a ROC Pilot Grant are required to submit a final report to the Research Overhead Committee at the end of the year of the award. The report should include an indication that the grant proposal being sought (for which this pilot funding was provided) was submitted, total costs of the external grant, and so forth.

Operating Expense Guidelines

The Department's operating budget is fixed except for income generated by grants (salary release), and course fees. Below are outlined some basic guidelines used to assure that the Department allocates resources wisely and fairly.

PRB

Faculty are allocated a set amount of funds to use between Oct 1 and Aug 15 of the academic year. The amount allocated may be different for tenured and untenured faculty, and may be increased or decreased on a yearly basis based on faculty discussion and vote. For the 2018-2019 year, the PRB amount is $1733 for untenured faculty and $1333 for tenured faculty, unless a different amount is specified in the hiring letter. The PRB is designed to offset some of the costs of research materials, equipment, subscriptions, and professional travel. Particularly active faculty researchers or faculty with unusually expensive travel can apply to A&S for supplemental travel funds.

Photocopying

The departmental copy code is to be used for instructional and administrative photocopies only. Faculty are urged to keep copying to a minimum to help keep departmental costs reasonable. Paperless exams are encouraged as long as testing security can be achieved.

Separate from the department copy code, each faculty member may obtain a copy code for his/her research copies, which is payable from the faculty member's PRB or other research funds. Faculty who use the department copier for research should set up their account with Inge Archer.

UPS

The University has contracted with United Postal Services for our special mailing needs. Please see Robin and she will assist you in the shipment of your package/letter. If it is not for department business you will be responsible for the payment either through your PRB, Research Overhead or Out-of-Pocket. Let Robin know at the time of your request.

Telephones & Faxes

In-office telephones. At the end of 2017-2018, the faculty voted to discontinue most faculty telephone lines to reduce expenses. Only faculty who have administrative roles and those who see a real need for an in-office telephone have maintained their in-office telephones. Faculty without an in-office telephone may list the main office telephone number as their campus telephone number and they may use the office telephone to make calls. When there is an incoming call for a faculty member, the main office staff answering the phone will ask the caller to email the faculty member, and will take a message and email it to the faculty member.

The Department pays for long distance charges relating to recruitment, accreditation, colloquia, graduate student contacts, grant proposals, and other official departmental business ONLY. Other long distance charges must be paid for by the faculty member's research or personal account, as applicable.

Voice-Mail. Faculty who have in-office telephones may elect to subscribe to Voice-Mail. This costs $60 per year and will be deducted from the faculty member's PRB or other research account on a yearly basis.

Lab phones. Although rare, some faculty may have a telephone line in their lab. The monthly line charge as well as long distance charges from lab phones must be charged to PRB or another research account. Make arrangements for this with Inge Archer.

FAX Machine. The Department has a FAX machine in the main office, which can be used by any faculty member. Charges for FAXES are on the same basis as telephone calls. Please avoid sending and/or receiving faxes of more than 20 pages in length.

Supplies

We do our best to keep an ample amount of supplies for use in classes and offices. However, some supplies are not regarded as necessities (i.e. 3 ring binders, appointment calendars, hanging files, letter trays, sorters, etc.), and therefore need to be purchased with PRB funds. The department will furnish ink/toner for your office printer. You are responsible for the ink/toner in your lab printer(s); this can be paid from PRB or other research funds.

Purchasing and Travel Reimbursement

All purchasing and travel reimbursements are handled by Inge Archer. Purchases must be made through BuyBama according to UA policy, and Inge is familiar with the policy. The University has an established vendor contracts for most products needed and we are required to honor those contracts. If you purchase from a vendor other than the one on contract with the university you will be violating the bid law. The best approach is to work with Inge to submit all purchases. The University now uses CONCUR for travel reimbursements. All faculty should designate Inge as a Delegate in their CONCUR profile. This allows Inge to process the travel reimbursements according to UA policy. As this is still new to faculty, please see Inge for guidance.

Textbooks

Textbook orders are required to be submitted online through the UA Supply Store. Instructors begin to receive emails prompting them to select their textbook once Banner has updated with the instructors of record. Desk copies and Examination copies of textbooks can be obtained from the publishers, free of charge. The department cannot afford to reimburse faculty for textbooks they choose to purchase. For questions about ordering textbooks, see Michelle Lee.

Instructional and Curriculum Policies

Academic Misconduct Statement

The Department of Psychology will not tolerate academic misconduct. Instructors are obligated to immediately report suspected academic misconduct by students, such as cheating or plagiarizing. The University's policy for academic misconduct is found in Appendix C of the Faculty Handbook. The reporting channel is from the Instructor directly to the Associate Dean. For details on how to report incidents to the Associate Dean, find the Academic Misconduct Packet Submission Guidelines on the College of Arts and Sciences website under the For Faculty and Staff menu (scroll down to the section on Teaching). The instructor should not confront the student about his/her suspicions or make any accusations. S/he should simply forward supporting information to the Associate Dean, who will investigate the case and talk with the student. If a student asks about why s/he has not had her test or paper returned, the instructor should say "There is a question about your paper/assignment. I have forwarded it to the Dean's Office and they will contact you." After investigating, the Associate Dean will communicate the results to the instructor, including what action has been deemed warranted.

Course Syllabus Elements

A syllabus is required for each undergraduate and graduate course. The complete syllabus must be published through the Office of Institutional Research and Assessment (OIRA). The link to the OIRA syllabus creation tool can be found on myBama under the Faculty tab. Creating your syllabus in OIRA ensures that it is compliant with the Americans with Disabilities Act (i.e., is ADA-compliant). Also it ensures that your syllabus populates into the Faculty Activity Report (FAR) system and thus is available for retention, tenure, and promotion review, as well as annual spring evaluation. Finally, it ensures that your syllabus is available to the Department Chair.

It is recommended that your OIRA syllabus be linked to your Blackboard site for each course. To link your OIRA syllabus to your Blackboard Learn Course site, follow the directions at https://frc.ua.edu/wp-content/uploads/2017/12/OIRA_syllabus_link-2017_update-nov17.pdf

Syllabus requirements for The University can be found at http://provost.ua.edu/uploads/3/9/7/6/39760652/syllabus_policy_final_12-15-2016.pdf

Syllabus requirements for the College of Arts and Sciences can be found at https://teachinghub.as.ua.edu/syllabus-requirements/.

Required and Recommended Syllabus Elements:

- course number, section number, and the full course name used in the catalog
- class meeting time and location
- instructor's name
- instructor's email address, phone number, and office location
- office hours for the current semester

- emergency/disaster academic communications information
- prerequisites
- course description
- course objectives
- learning goals
- outline of topics to be covered during the semester
- attendance policy
- the planned number and timing of major examinations and assignments
- grading policy, including, if applicable, minimum passing grade (Remember that graduate courses use full letter grades.)
- the policy for making up missed coursework (including examinations)
- required texts and other course material
- the Statement on Academic Misconduct
- the Statement on Disability Accommodations
- UA's Severe Weather Protocol
- the statement, "The University of Alabama is committed to an ethical, inclusive community defined by respect and civility. The UAct website provides extensive information on how to report or obtain assistance with a variety of issues, including issues related to dating violence, domestic violence, stalking , sexual assault, sexual violence or other Title IX violations, illegal discrimination, harassment, child abuse or neglect, hazing, threat assessment, retaliation, and ethical violations or fraud."

Also, a "final evaluation" is required for all students enrolled in undergraduate courses. It must be administered in accordance with the official, published final examination schedule. Of course, these evaluations may take many possible forms depending on the goals and purposes of the course. The policy does not state that the evaluation must be an examination or that it must be cumulative. Nevertheless, some type of final evaluation is required in all undergraduate courses in the University.

New Course Proposals

All new course proposals shall be reviewed by the Committee on Instruction with the exception of courses numbered PY375, PY391, PY491, and PY693, which are meant to have rotating topics. To propose a new course, first speak with the Department Chair. If approved, a detailed syllabus must be created and the following steps followed: The faculty member proposing the course presents the new syllabus to the Department Chair.

1. The Department Chair forwards the proposal to the Committee on Instruction.
2. The Committee on Instruction reviews the course syllabus and either approves it or suggests revisions.
3. Once approved by the Committee on Instruction, the proposal is circulated to faculty who vote on approval.
4. The Departmental Administrative Assistant enters the proposal into the Courseleaf system.
5. Once in Courseleaf, the proposal is reviewed by the Associate A&S Dean for Social Sciences. Undergraduate course proposals are then reviewed by the College Committee on Undergraduate Learning. Graduate course proposals are then reviewed by the College

Committee on Graduate Education. The next two levels of review and approval are by the Dean of A&S and the Office of Academic Affairs, in that order.

6. Finally, approved courses are entered into the University Course Inventory. This is done by the Departmental Administrative Specialist.

Note: The College advises that about <u>10 months lead time</u> is required from submission of course proposals to A&S to final approval and incorporation into the UA Course Inventory.

For new courses numbered PY375, PY391, PY491, and PY693, the procedure is managed within the department. The Department Chair shall review the syllabus for the proposed course when constructing the departmental schedule. The Chair shall check for excessive repetition of the topic as well as for atypical format or grading criteria.

Avoiding Conflict of Interest in Textbook Selection

The University's <u>Faculty Handbook</u> contains a discussion of the state law prohibiting instructors from making adoption decisions for textbooks that they have authored. Instructors who wish to use such materials are asked to submit a request to the Committee on Instruction at least three months prior to the beginning of the semester in which the course is to be taught. The request should include the reason the instructor's textbook must be used and what the instructor intends to do with royalties from sales of the book to students in his/her class. The <u>Faculty Handbook</u> limits permission to use the text to one year, after which another request for approval is required. Every year, the Committee on Instruction provides a report to the A&S Dean's Office of any textbooks in use under this special conflict of interest policy.

Course and Instructor Evaluations

Student Opinions of Instruction (SOIs) are solicited by OIRA through an automatically generated email at the end of each term. All instructors should encourage students to participate in the evaluation of instructors through the online survey. To access their SOI's, instructors may log in to myBama, click on the Faculty tab, and then click on OIRA in the right hand column.

Courses Carrying a (W) Designation in the University Core Curriculum

Currently, PY391 and PY491 are designated as writing (W) courses under the University's core curriculum. The following are course requirements for the (W) designation:

1. To pass a (W) course, students must write coherent, logical, and carefully edited prose in a minimum of two out-of-class papers, at least one of which will be <u>graded and returned</u> before mid-semester.
2. The course description or syllabus should include this statement or its equivalent; "Writing proficiency is required for a passing grade in this course." This means that a student who does not write with the skill normally required of an upper division student in the discipline will not be given a passing grade, no matter how well he/she performs other course requirements. The clearer this communication is in the syllabus, the better.
3. The course description or syllabus should indicate that the student's writing itself will be

graded and commented upon and that the grades earned on the writing assignments will become a part of the assigned course grade.

4. The following are not acceptable writing assignments for (W) courses: group writing projects, summary listings, short reports of findings, introductions to tabular materials.

5. All (W) designated courses must be taught by instructors who have at least the Master's degree, preferably in classes not exceeding thirty-five students.

Multiple Section Course Managers

When it is deemed desirable, the Department Chair will appoint course managers for multiple section courses. The following are policies governing the management of courses that contain multiple sections:

The course manager will convene a meeting each term prior to selection of text for the next term (e.g., in April for fall; October for spring). In order to give input on changes and problems, all course instructors are invited to attend whether or not scheduled to teach the course the next term.

The course manager, in conjunction with other section instructors, may select a common textbook, course coverage, and philosophy and requirements for the course. Depending on each course committee's decision, common exams, syllabi, and schedules may be employed, but this is not mandatory for all courses. Course "philosophy," however, should be derived by consensus and adhered to by all course instructors. In the case of graduate student instructors and temporary instructors, the course manager will select the textbook and determine course organization. The departmental assistant will coordinate textbook ordering in the cases of temporary and graduate student instructors. While it may be desirable to have a common textbook for all sections taught by regular faculty, the text decision will be left to individual faculty.

The course manager, in conjunction with the course committee, will make recommendations to the department faculty in cases when substantial departures from the common philosophy are being considered. However, minor modifications are within the jurisdiction of the course committee. The channel for recommendations should be the Committee on Instruction with possible consideration by the entire departmental faculty.

The course manager will be responsible for deciding transfer credit equivalency for the particular course.

The course manager will be encouraged to develop teaching aids/materials for the course in conjunction with other section instructors on the course committee. These shall be supported by the department's instructional funds when funds are available.

The Department Chair shall consult with the course manager about possible issues with regard to sections of the course and individual faculty.

Honors Program in Psychology

    1. <u>Background</u>. The Honors Program in Psychology is designed to afford qualified undergraduate majors the opportunity to participate in activities preparatory for graduate training. The two year program is research oriented and involves interactions with selected faculty and peers in an enriched and accelerated academic environment. Completion of the program is contingent upon the submission of an independently conducted research project equivalent in quality to a Master's thesis.

The Honors Program was formed in the Fall semester of 1989. Decisions regarding admissions and program policy are made by the Director of the Honors Program, with input from the faculty.

    2. <u>Application.</u> Psychology majors who are in the second semester of their sophomore year with nine hours of completed course work in psychology (including PY101, PY211, and a 300 level course) may apply for admission to the Honors Program. A completed application and interview by the Honors Committee is required before acceptance. To be accepted a student must have a 3.5 grade point average in psychology course work and a 3.3 average overall; however, meeting these minimal requirements does not guarantee admission. PY355 must be completed prior to or during the first semester of the program.

    3. **<u>Curriculum.</u>** Four courses comprise the Honors Program curriculum. These courses are outlined below:

        <u>PY378</u> (1 credit) -- First semester Honors students will be enrolled in this fall course. The course will primarily consist of presentations by faculty members. These presentations will focus on research activities. In addition to these presentations, the course will also address such topics as computer use, literature search, and research ethics. Students are encouraged to choose a faculty mentor by the end of the semester.

        <u>PY379</u> (3 credits) -- This spring course follows PY378 in the Honors sequence. Students meet as a class and also work with their faculty mentor on their research proposal writing. Completion of this course requires a 20-30 page research proposal approved by the student's research sponsor and the Honors Program director. This course will carry the (W) designation.

        <u>PY478</u> (2 credits) -- This fall course follows PY379. Students meet as a class once a week and work with their faculty mentor to implement their approved research proposals.

        <u>PY479</u> (3 credits) -- The final course in the Honors sequence involves the writing and defense of the Honors thesis. The student meets with the class once a week and writes the thesis under the direction of his/her faculty sponsor. The student defends the thesis before the faculty sponsor and the Director of the Honors Program (or the PY497 instructor, if different).

      PY379 is a W course and counts toward the PY seminar requirement. PY 378, 478, and 479 count toward PY elective requirements.

4. Policies. Honors students must maintain admission level GPA's throughout the Honors sequence. Students with a GPA below this level will be placed on probationary status for one semester. They will be dismissed from the program if their GPA does not return to admission level at the end of the probationary semester.

Honors students will have until the end of the summer semester of their senior year to defend their thesis. At the end of the summer semester they will receive a final grade for PY479. Prior to this deadline, they will receive an "I".

The Honors thesis will be defended before a committee comprised of the student's research sponsor and the Director of the Honors Program (or the PY497 instructor, if different). The defense will last approximately one hour.

Procedures for Conducting Research

Approval for all research projects involving human participants or their data must be obtained from the Institutional Review Board (IRB). It is the responsibility of the faculty member conducting, or supervising the research, to obtain IRB approval prior to collecting any data. All research must be conducted according to the ethical guidelines of the American Psychological Association. Specific procedures for using PY101 students as research participants are detailed in the next section.

Procedures for using PY 101 Students as Research Participants

The PY101 subject pool provides research participants for the faculty and students of the Department of Psychology. Use of the PY101 subject pool by researchers from outside the Department is restricted. Specifically, during the first half of each semester, only individuals affiliated with the department are allowed to recruit from the subject pool. However, at the midpoint in the semester, the Graduate Student Coordinator and Faculty Supervisor assess the subject pool activity to determine if there are enough research opportunities for PY 101 students and if there are enough potential participants for researchers within the department. After the assessment, individuals outside the department are allowed to use the subject pool if it is determined that more research opportunities are needed for students than will be provided by Psychology Department researchers.

Advance approval for all research projects must be obtained from the Institutional Review Board (IRB). The Subject Pool Coordinator is responsible for supervising the use of this subject pool and will provide the researcher with a list of procedures to be followed.

All researchers should check with the coordinator prior to recruiting, even if you are continuing an experiment from a previous semester. You should provide the coordinator, in writing, the following: Your name, phone numbers, the approved IRB cover sheet, the short name for your experiment that will be advertised to the participants, the room number(s) where participants participate in research, the names and numbers of anyone else who will be assisting you, name of

your supervisor (if a student), time estimate for your experiment, and start/ending dates for your experiment.
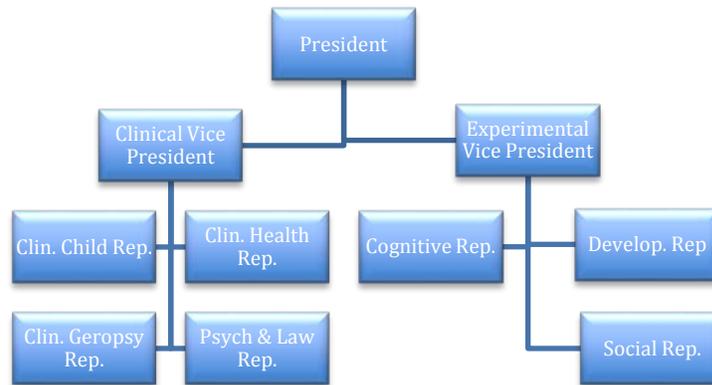
Researchers who fail to comply with the subject pool policy will be penalized. Any researcher who receives one warning will lose their subject pool privilege's for the semester if a second violation of policies occurs. If you have undergraduate students you are supervising, or you engage the help of your peers, they must abide by these rules, as you are responsible for their mistakes.

PY 101 Research Participation Requirement

- Each PY 101 & PY105 student is required to earn 12 research credits.
- If a student completes 9 credits of research with "0" NO SHOWS, the subject pool coordinator will grant the student 3 additional bonus points. (Bonus credits are used to discourage NO SHOWS.)
- Students have the option to satisfy the research participation requirement by pursuing the alternative already in place (i.e., produce 9 written papers with "0" NO SHOWS).
- Students who do not complete the 12 credits of experiments lose 10% off of their final percentage score (corresponding to a full letter grade).
- The number of credits earned for participating in research varies depending on whether the research can be done on-line or if it involves coming to a researcher's lab.
  - Students who participate in an on-line study will receive ½ credit for every ½ hour that they spend participating in the research.
  - Students who participate in a laboratory study will receive 1½ credits for every hour that they spend participating in the research. Thus, a student who participates in 2 hours of laboratory research will receive 3 credits.
- If a student is more than 10 minutes late or fails to attend the study, it is considered a NO-SHOW.
- After accruing three or more NO SHOWS, students will have to fulfill the requirement by writing papers.

Appendix A:

Psychology Graduate Student Association (PGSA)

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                    ┌───────────┐
                    │ President │
                    └───────────┘
         ┌────────────────┐   ┌────────────────────┐
         │ Clinical Vice  │   │  Experimental      │
         │ President      │   │  Vice President    │
         └────────────────┘   └────────────────────┘
  ┌──────────────┐ ┌──────────────┐   ┌──────────────┐ ┌──────────────┐
  │ Clin. Child  │ │ Clin. Health │   │ Cognitive    │ │ Develop. Rep │
  │ Rep.         │ │ Rep.         │   │ Rep.         │ │              │
  └──────────────┘ └──────────────┘   └──────────────┘ └──────────────┘
  ┌──────────────┐ ┌──────────────┐                    ┌──────────────┐
  │ Clin. Geropsy│ │ Psych & Law  │                    │ Social Rep.  │
  │ Rep.         │ │ Rep.         │                    │              │
  └──────────────┘ └──────────────┘                    └──────────────┘
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1. **Leadership**

The PGSA will be organized around a central President with representatives for each of the department's major programs and concentrations. These PGSA representatives will be elected during the spring of each academic year. Elections will be the sole responsibility of the current elected representatives.

The Clinical V.P. and Experimental V.P. will each have one (1) vote during department meetings on all topics except for those related to faculty tenure, faculty promotion, and graduate student evaluation. If a voting representative must be absent, the PGSA President or one of the elected concentration representatives may stand in proxy. In the absence of appointed representatives, elected representatives will fulfill committee responsibilities until such time as an appointment can be made.

In addition, the regular departmental committees will have student representatives appointed by the PGSA president. These appointments will take place no later than two weeks after the start of the fall semester. The PGSA President, Clinical V.P, and Experimental V.P. will automatically serve as the student representatives to the Chair's Advisory Committee. Appointed committee representatives will have one (1) vote for committee matters.

In its appointment of committee representatives, the PGSA recognizes that some committees have specific requirements for their student members. Committee Chairs in conjunction with the PGSA president will selection an appropriate student representative when applicable. For all other committees, the PGSA President will solicit requests for

graduate student representatives and assign these positions on a first come first serve basis.

2. Responsibilities

Elections. The PGSA will be responsible for its own perpetuation. See section 1.

Representation of student voice. Appointed PGSA representatives will:
a) Gather and represent the constituent group's opinions on relevant departmental and committee policies.
b) Raise questions within committee and departmental meetings regarding such opinions, and vote accordingly.
c) Report back to their constituent groups regarding committee and departmental decisions.
d) Provide an arena for anonymous discussion, debate, and consensus gathering of student issues before presenting them to the department as a whole.

Additional source of funds for student activities.
a) Departmental money set aside for entertaining prospective students as well as student-run first-year social activities shall be utilized by the PGSA's elected representatives in conjunction with a departmental liaison.
b) The PGSA will be allocated $400.00 per academic year for its General Operating Budget (GOB). For example, these funds will be used to make necessary copies, purchase office supplies, and host PGSA gatherings in an effort to increase the potential of the PGSA in Recruitment and Retention of outstanding graduate students.
c) The PGSA will facilitate student applications to the University GSA's research and travel fund.

Appendix B:

Faculty Search Procedures

I. **Approximate Timetable**
   a. April: Position descriptions decided by the department
   b. July: Position requests forwarded to the A&S Dean
   c. Sept: Advertise in APA Monitor, APS Observer, & others
   d. Oct 1:   Deadline for applications
   e. Oct/Nov/Dec: Interviews
   f. Nov/Dec/Jan: offers

II. **Establishment of a Search Committee**
   a. Composition of the Search Committee
      i. Search Chair
      ii. 3 other faculty, including at least one from outside the area of hire
      iii. 1 of the faculty members must be an African-American
   b. Responsibilities of the Search Committee
      i. Finalize the advertisement
      ii. Review all applications
      iii. Develop a short list of 6-8 applicants, and optionally, an extended short list of a 3-5 more applicants.
      iv. Contact short-listed applicants for availability and interest
      v. Provide a summary of the short-listed applicants' credentials and make this and the applications available 1 week in advance of the departmental discussion. Applicant files will be centrally located (i.e., in the main office) so all faculty will have opportunity to read them.
      vi. Rank the short listed applicants and present them to the Department for discussion in a departmental meeting.
   c. Responsibilities of the Search Committee Chair
      i. Help the office staff with paperwork
      ii. Manage the work and progress of the search committee
      iii. Lead departmental discussions and conduct votes related to the search
      iv. Communicate with candidates who have been invited for interview

III. **Advertising procedures**
   a. Follow the University's procedures for national search
   b. An advertisement will be prepared for the APA Monitor and other outlets, as deemed appropriate. The search committee will draft the advertisement, with input from departmental faculty.
   c. Office staff will see to the paperwork regarding advertising and documentation required by The University.
   d. Diversity Plan

IV. **Reviewing of applications**
   a. All applications should be read by all members of the search committee.
   b. Special attention should be given to any self-identified minority applicants and those covered under the   Americans with Disabilities Act.

c. Consideration should be given to the department's stated priorities for the position.

d. Any potential conflicts of interest should be identified to the Psychology Department Executive Committee. The Executive Committee, along with the individual who is in conflict, will devise a plan for appropriate involvement (or lack thereof) of the individual in the faculty search. The type of potential conflict of interest and the specific situation of the faculty search will be considered in devising this plan. Some examples of conflict of interest: applicant is a family member, former family member, former student, close collaborator, etc. Usually, a conflict of interest has to do with a personal relationship, but it can be related to a professional relationship.

e. Permission from the applicant must be secured before contact with others regarding him/her is made. As a matter of policy, the search committee will request permission from the applicant to contact all references of short-listed applicants. At their discretion, the search committee may also request permission from the applicant to contact others besides reference writers. Individuals who are not on the search committee will not contact others regarding applicants unless this is cleared with the search committee.

V. Selection of Finalists

a. The department faculty will consider all short-list applicants in a discussion led by the search committee chair. At this discussion, the search committee chair will present the relevant information about each of the short-listed applicants.

b. After discussion, an acceptability vote will be made for each short-listed applicant.

c. A secret ballot vote to determine ranking will then take place, involving only those applicants who were voted acceptable. The top 2-4 applicants will be invited for interview.

VI. Interviews

a. Interview schedules will be put together by office staff.

b. Interviews will last 2 days and will include a research presentation and interviews with faculty, the department mentoring committee, staff, graduate students, undergraduate students, the Department Chair, a Dean, and other key people.

VII. Departmental Decision

a. The search committee will present their rank ordered hiring recommendations.

b. Evaluative comments will be solicited from graduate and undergraduate students, and these will be entered into the discussion.

c. A secret ballot vote will be taken on the acceptability of candidates and whom to make offers to.

VIII. Making offers

a. The Department Chair will communicate the hiring recommendations of the department to the A & S Dean's office.

b. The Department Chair will communicate the hiring recommendation verbally to the top ranked candidate. The Department Chair will also contact the other interviewed candidates at this time to tell them their status. The official offer, in writing, will be made from the Dean's office.

Appendix C:

Guidelines for Tenure and Promotion to Associate Professor

These departmental guidelines should be used in conjunction with those published in the University of Alabama Faculty Handbook and the College of Arts & Sciences Tenure and Promotion Guidelines.

I. <u>Research</u>

The Department of Psychology's tenure and promotion decisions are based on a consistent level of scientific, creative, and scholarly contribution. The contribution is a joint function of the quality and quantity of the published research.

Scholarly productivity is typically evidenced by journal articles, book chapters, books, and competitive grant applications. Expectations for research productivity will vary based on research FTE allotment. In addition, neither convention presentations nor paragraph-length proceedings from conventions are counted as primary indicators of scholarly contributions to knowledge. However, the department values and takes into consideration these activities that are often the precursors to more substantive contributions to knowledge.

Research quality is the most important factor affecting judgments about a candidate's scholarly record. Simple counts of publications can be misleading and result in invalid assessments of research contributions. Candidates are responsible for supplying the Tenure and Promotion Committee, and relevant subcommittees, with information addressing research quality. The documentation should be organized in a section of the dossier.

Evidence of research quality can come from a variety of sources. Research criteria include the following:
   A. Evidence of substantial research productivity including publication in refereed journals of prominence in the area. The level of productivity is expected to be "substantial" by the standards of that area. Excellence is judged by:
   1. the substantive content,
   2. the originality of the research,
   3. the impact and recognition of the work,
   4. the prominence of the journal or series in which it appears. Evidence of the quality of the journal can include:
        a. the citation impact factor of the journal. The higher the factor, the more citations are made from articles published in that journal. Most psychology journals appear in either the Social Science Citation Index or the Science Citation Index. The impact factor included in the candidate's dossier should closely correspond to the year that the candidate's article appeared in the journal.
        b. rejection rate of the journal
        c. peer review status and information about the sponsorship of the journal
   5. In terms of authorship order, a balance of sole or first authorship, co-authorship with students, and co-authorship with colleagues is desired. Sole or first authorship is considered significant as a measure of the scholar's independent contribution. Co-

authorship with students is considered significant as a measure of research men to ring. Co-authorship with colleagues is considered significant as a mark of collaboration in large research projects. For multi-authored works, the candidate's research statement will indicate the relative contributions of the authors. In the absence of such explanations, the Committee will assume that the order of authorship indicates relative contributions.

6. Complexity of research will be considered. Multiple-experiment studies, clinical trials, and other complex projects published in top-tier journals will be recognized as having greater weight than simpler studies in the evaluation of research productivity.

7. In its evaluation of book chapters in edited volumes, or articles in non-refereed journals, the Committee recognizes that such work has not usually undergone competitive peer review and may therefore be perceived as not meeting the same high standards for publication as articles in prominent scholarly journals for which acceptance is based on competitive peer review. Accordingly, the Committee expects that the candidate's research statement will include explanations of the scholarly importance of the contributions contained in such sources. Books that go through a rigorous peer review process are considered substantial scholarly contributions. Inclusion of reviews of books and book chapters are especially valuable since such publications are inherently more difficult to evaluate. These may be published reviews or ones solicited by the candidate. Solicited reviews should be identified as such. A summary of the reviewer's credentials should also be included.

8. Research grant funding from public and private foundations is an important indicator of research quality. Preparation and submission of competitive grant applications is seen as a usual part of the scientific activity expected of our faculty especially where such support is important to research progress. Both funding status and priority scores will be considered. Candidates will be expected to include copies of their recent grant applications and of their review sheets.

B. An ongoing successful program of independent research.
C. Achievements in research, significant contributions advancing the field, and evidence of creativity and original scientific thought that is recognized by distinguished scholars in the field.
D. Achievement of recognition in the field on the basis of their scholarship; editorships, fellow status, and memberships on national research advisory committees are examples.

II. Teaching
The Faculty Handbook and the College of Arts & Sciences provide general guidelines for documenting teaching effectiveness. Departmental guidelines are as follows:

Candidates for tenure and/or promotion should show –

1. Record of continuing success in teaching of both undergraduate and graduate students, including contemporary instruction and responsible handling of teaching duties.
2. Success in advising graduate student research.

The Department values quality teaching and seeks to promote excellence, recognizing that the evaluation of teaching success requires special wisdom. Although student opinion is considered, it is only one useful source of information and one that can be lacking in perspective on the domain and on long-term impact. Other potentially relevant information is listed below. This list should not be viewed as a checklist; it lists different ways of documenting teaching effectiveness.
A. Statement of pedagogical philosophy

B. A list of courses and seminars taught and the years. This list should have separate parts for (i) regular university day school courses, (ii) summer school, and (iii) extension division or correspondence courses.

C. List any teaching awards received.

D. A list of past and present Ph.D. students and completed dissertations supervised (as advisor or co-advisor), year completed if completed, and publication reference, if any, arranged chronologically.

E. A list of past and present dissertation committees one has been on and year completed if completed.

F. A similar list of M.A. students and thesis committees.

G. A similar list of undergraduate research supervisions (usually for Honors).

H. Career accomplishments of graduates

I. Textbooks.

J. The most recent syllabus for each current course making up the candidate's teaching duties.

K. Student ratings and evaluations for several courses. Such numerical ratings should be obtained over several years and compare the candidate's scores with the average scores of the Department's faculty. These data must be evaluated in the context of the type of course being taught.

L. A summary and documentation of student discursive comments solicited by the department. Describe process for collecting these comments.

M. Evaluations from colleagues within or outside the department.

N. Evidence of innovation in courses taught.

O. Comments by former students and other solicited or unsolicited letters of support from others

P. Evidence of learner-centered mastery of material

III. <u>Service</u>

Candidates for tenure and/or promotion should show

1. Involvement in services to the discipline.
2. Involvement in services to the profession.
3. Responsible handling of university and college service tasks as well as of departmental service tasks and opportunities, principally service on departmental committees.

The first two categories above, service to the discipline and service to the profession, reflect assignments usually arising as a result of scholarly and professional achievement and recognition. The third is service necessary to the successful functioning of the university, college, and department and part of the burden we all must share. Documentation for each of these categories may include the following.

A. Scholarly Services to the Discipline

    a. Lists of the journals, agencies, or publishers for which the candidate has reviewed on an adhoc basis.

    b. List of consulting editorships or editorial boards served on and year(s) of service.

    c. List of editorship, associate editorships, or agency research advisory panels served on and year(s) of service. These types of service are typically useful when the candidate is seeking promotion to the Full Professor level.

    d. Scientific Organization Program Committee service and year(s) of service.

B. Other Services to the Profession

    a. Elected offices in regional, national or international scientific and professional organizations, and years of service.

b. Committee and task force assignments to same and year(s) of service.
    c. Consulting and teaching of workshops, continuing education, in-service training, etc.
C. Service to the University, College, and Department
    a. Elected to University and College offices and year(s)
    b. University and College Committee and Task Force assignments, and year(s)
    c. Departmental service assignments and year(s).
D. Service to the Community

Guidelines for Promotion to Full Professor

Promotion to the rank of Full Professor requires (a) continued fulfillment of the criteria for tenure and promotion to the rank of Associate Professor, and (b) fulfillment of the additional criteria listed below. The criteria listed below imply a more profound degree of impact on the field of psychology and dedication to teaching and service, compared with the criteria listed for tenure and promotion to Associate Professor. Evaluation for promotion to Full Professor will include the candidate's full record and will not be limited only to the years since last promotion. However, it is likely the later years that will provide the most important information for evaluation.

1. Evidence of distinguished scholarship.
2. An ongoing successful program of research. A successful record of grant-related activities is highly desirable.
3. Evidence of substantial research productivity including multiple significant contributions advancing the field published in journals, series, and volumes of prominence in the field. Excellence is expected.
4. A pattern of research activity and productivity that promises to continue well into the future.
5. Achievement of discipline-wide recognition for significant research contributions advancing the research and theory in the field.
6. A record of continuing success in classroom instruction of both undergraduate and graduate students, including teaching of contemporary materials and responsible handling of instructional duties. Excellence in teaching is highly desirable.
7. Evidence of success as a trainer of graduate students for the Ph.D.
8. Significant contribution to the discipline and the profession through service activities.
9. Responsible handling of departmental service tasks and opportunities.
10. An accumulation of achievements in research, teaching, and service that establishes the expectation that the faculty member will continue to contribute with distinction to the science, the education of students, the University, and the Department.

Appendix D:

The University of Alabama Policy on Academic Misconduct in Scholarly Activities

The full policy on academic misconduct in scholarly activities can be found in Appendix L in the University of Alabama Faculty Handbook.

Appendix E

The University of Alabama College of Arts and Sciences Personnel Policies
Non-Tenure, Renewable Contract Faculty (NTRC)
Revised and Approved November 2017

I. Introduction

The College of Arts and Sciences (A&S) has four categories of faculty: Tenure-Track Faculty (TTF), Non-Tenure, Renewable Contract Faculty (NTRC), and part-time (PTTI) or full-time instructors (FTTI) on temporary or renewable appointments.

For Tenure-Track Faculty, expectations for promotion, and specified evaluation procedures and schedules for such appointments, are set forth in Criteria and Standards for Promotion and Tenure, as found in the University of Alabama (UA) *Faculty Handbook*, and in the College of Arts and Sciences Policies and Procedures for Retention, Tenure, and Promotion.

This document describes procedures and processes for evaluation and promotion for NTRC faculty. NTRC faculty are appointed to full-time, 9 or 12-month, multi-year positions that are not on the tenure track. Consequently, it does not apply to part-time appointments (PTTI), full-time temporary appointments (FTTI), adjunct appointments, visiting appointments, or appointments intended to be for one-year only.

NTRC faculty efforts are based primarily on clinical responsibilities, teaching, program administration, or a combination thereof, plus service. NTRC faculty do not have a primary responsibility in research or scholarship or creative activity outside teaching/clinical responsibility and thus have a much less or non-existent research-intensive focus.

II. Ranks and Terms of Appointment

A. *Ranks*. This policy applies to full-time, 9 or 12-month, multi-year appointments at the ranks of Assistant, Associate, and Full NTRC Professor, collectively referred to hereafter as Non-Tenure, Renewable Contract Faculty (NTRC Faculty).

B. *Terms of Appointment*.
   1. Initial appointments may take place at any rank, contingent upon experience. Initial appointments will normally be for a period of three years. Offer letters will be issued by the Office of the Dean. Continuation in the appointment throughout the contract term is contingent on satisfactorily meeting the departmental and College's performance standards, compliance with all policies in the *Faculty Handbook*, general UA employment policies, and the needs of the department and College. If an NTRC faculty appointment should begin in January, the term subject to evaluation for promotion will begin the following August.
   2. Unlike tenured faculty, this is a temporary appointment that, by definition, is not tenure-earning and does not convey any right or expectation of continued employment after the time specified. The position is subject to policies and procedures of The University of Alabama, the College of Arts and Sciences, and the Department. The University reserves the right to terminate employment immediately if, in the judgment of the Department Chair and Dean, such action is warranted.

3. Each NTRC faculty will participate in an annual review by creating a dossier in the on-line Faculty Activity Report system, just as TTF do. Renewable contracts every three years will be based on program need, performance, other criteria stated in this document, the absence of instances outlined in Section IX below, and other terms and conditions noted herein.

4. Assistant NTRC Professors, in the sixth year of service will undergo review for promotion to Associate NTRC Professors. After six years of appointment, persons who choose not to apply for promotion or who are not promoted will have one final year of appointment as a NTRC faculty.

5. Associate NTRC Professors, after five years in rank will be eligible to apply for promotion to Full NTRC Professor.

III. Qualifications

NTRC faculty should, at a minimum, possess the appropriate terminal degree for their field (or the equivalent credentials in special cases as approved by the Department in consultation with the Dean of the College of Arts and Sciences).

The most important criterion for NTRC faculty appointment and promotion is outstanding teaching ability/clinical competency including classroom or clinical presence, knowledge of the discipline and specific subject area as well as competence with current instructional pedagogy.

IV. Searches

Procedures for searches for all NTRC faculty appointments will be the same as for entry-level tenure-track recruitments.

V. Responsibilities

The responsibilities for NTRC faculty, which are determined at the discretion of the Dean and Department Chair, include, but are not limited to:

A. *Teaching/Clinical Workload*. NTRC faculty will be the equivalent of a full-time teaching/clinical practice load in the fall, spring, and summer terms and as reflected in the appointment letter. Any variation in the workload of a NTRC faculty member must be approved by the Dean.

B. *Service*. NTRC faculty are expected to carry the same service load as TTF. They are expected to contribute to the life of the college through appropriate departmental faculty committees and other forms of academic service consistent with policies of the Department, College and the University.

C. *Scholarship*. NTRC faculty are not required to engage in the preparation and publication of original scholarship. See Section VI.C and D of this document.

D. *Voting Privileges*. NTRC faculty shall have the same voting rights as TTF in College faculty meetings. Each department shall determine the voting rights of NTRC faculty in their department. As indicated in Chapter 2.V and Appendix P of the Faculty Handbook, membership on department and divisional faculty committees which make recommendations concerning tenure-track faculty appointments, progress review, promotion, tenure, and matters related to graduate work and graduate standards is limited to persons holding tenured or tenure-track faculty positions.

E. *Teaching/Clinical Workload.* NTRC faculty will be the equivalent of a full-time teaching/clinical practice load in the fall, spring, and summer terms and as reflected in the appointment letter. Any variation in the workload of a NTRC faculty member must be approved by the Dean.

F. *Service.* NTRC faculty are expected to carry the same service load as TTF. They are expected to contribute to the life of the college through appropriate departmental faculty committees and other forms of academic service consistent with policies of the Department, College and the University.

G. *Scholarship.* NTRC faculty are not required to engage in the preparation and publication of original scholarship. See Section VI.C and D of this document.

H. *Voting Privileges.* NTRC faculty shall have the same voting rights as TTF in College faculty meetings. Each department shall determine the voting rights of NTRC faculty in their department. As indicated in Chapter 2.V and Appendix P of the Faculty Handbook, membership on department and divisional faculty committees which make recommendations concerning tenure-track faculty appointments, progress review, promotion, tenure, and matters related to graduate work and graduate standards is limited to persons holding tenured or tenure-track faculty positions.

VI. Reappointment, Evaluation, and Promotion

A. *Reappointment.* Reappointment of NTRC faculty depends not only on annually-documented-meritorious teaching and service, and the absence of instances outlined in Section IX below, but also on continued departmental need for the faculty member's services and continued availability of funding as determined by the Dean. The final decision and notification of reappointment and non-reappointment will be made by the Dean.

B. *NTRC Faculty Evaluation Committee.* Departments are required to create a committee to work in conjunction with the chair or director to evaluate the NTRC faculty who are applying for promotion to Associate or Full NTRC Professor. The committee should be constituted with retention, tenure, and promotion (RTP) Committee members and NTRC Professors. However, the majority of the committee must be tenured faculty. The constitution of the NTRC faculty Evaluation committee must be approved by the Dean. The Departmental NTRC faculty Committee will review the NTRC faculty's teaching/clinical practice, course and curricular development, pedagogy, and service to the department.

In cases where there are fewer than three department members who are eligible to serve on the evaluation committee, the Dean will appoint additional members to the committee from other departments with related interests. However, the evaluation committee chairperson must be a member of the candidate's department.

C. *Evaluation.* Evaluation of NTRC faculty fall into three different categories: Annual evaluations, third-year reappointment evaluations, and promotion evaluations. In all types of NTRC faculty evaluations, the departmental NTRC faculty evaluation committee communicates their evaluation to the department chair who recommends to the Dean.

1. *Annual Evaluations.* NTRC faculty, like all instructional/clinical staff including tenure-track faculty, must be evaluated annually. The chair is responsible for annual evaluation of the teaching and service of each NTRC faculty. Evaluations will be completed through the online Spring FAR process. Three unsatisfactory reviews in five consecutive years will be cause for termination at the end of the academic year or non-reappointment.

2. *Progress Feedback Reports.* Assistant NTRC faculty will undergo progress reviews by the Department NTRC Committee, Department Chair, and Dean on an annual basis; these will occur during the fall semester retention, tenure, and promotion process and will follow the same timeline as that set out for TTF. The purpose of these reviews will be to provide feedback from the Department, Chair, and Dean to NTRC faculty prior to consideration for contract renewal and promotion to the rank of Associate NTRC. The first progress review will occur in the fall of the second year. During year three, candidates will be reviewed for reappointment (Section C.3). Progress reviews will be held during the fall of the fourth and fifth years in anticipation of the promotion evaluation in year six. Candidates will submit their dossier using the online FAR-RTP system by October 1st. The dossier will be reviewed by the Department NTRC committee, then by the Department Chair, and these reviews will be complete by November 1st. The Dean will then make his recommendation by March 1st.

3. *Third-Year Reappointment Evaluations.* When a NTRC faculty is being considered for contract reappointment after a three-year term or for any subsequent reappointment to a three-year term at that rank, the Chair of the department and the Dean will first consider whether both programmatic need and available resources support reappointment of a NTRC faculty. If position reappointment is warranted, the Chair of the department will determine if the current NTRC faculty in the position should be recommended for position reappointment based on annual evaluations and the absence of instances outlined in Section IX below. Should renewal be recommended, the NTRC faculty will submit the dossier for renewal to the department Chair by October 1st. The Chair will forward the dossier to the departmental NTRC faculty evaluation committee, which will make a written recommendation on renewal to the Chair. As with the Progress Feedback Reports, the Chair will make an independent review of the dossier and submit the Committee's and his/her recommendation by November 1st. The Dean will make the final decision regarding whether to renew the three-year contract or not by March 1st. At no time will a NTRC faculty contract renewal be deemed de facto tenure.

D.   *Promotion.* Unless specified differently in this document, the promotion process for NTRC faculty follows the departmental, College, and Dean-level timeline and process for TTF as described in Section III and IX of Chapter 2 of the *Faculty Handbook*. The evaluation committee will base its recommendation on job descriptions, review criteria in the faculty member's appointment letters, and reference to the criteria for promotion as described by the Departmental NTRC Faculty Review Committee reports that have been approved by the Dean's office.

Assistant NTRC Professors are eligible to apply for promotion to Associate NTRC Professor during the fall of their sixth year of service. Associate NTRC Professors are eligible for promotion to Full NTRC Professor any time after fully completing five years of service after promotion to the rank of Associate NTRC Professor.

Promotions for NTRC faculty will require submission of a dossier through the online RTP FAR system. The dossier will include a current curriculum vita; external and internal letters of evaluation; evidence of effective teaching/clinical practice from a variety of sources; evidence of service at the departmental, College, University and/or professional levels; a statement of professional activities and documentation of other relevant activities. Any modification from the aforementioned requirements requires approval by the Dean.

External Letters of Review. The dossier of a candidate for promotion must include three external evaluations of the candidate's teaching/clinical competency. It is expected that the documentation of outcome measures and the Active Learning Initiative will generate substantial data for evaluation of teaching/clinical competency. The candidate suggests in a timely fashion the names of several experts in his or her field who might provide external evaluations. The departmental chairperson requests evaluation statements from at least two of those persons, but is not limited to names furnished by the candidate. These evaluative statements shall be sent to the departmental chairperson who must put them in the dossier. They are considered only if they are in the candidate's dossier at the time that it is reviewed by the departmental committee.

The dossier for promotion must be forwarded to the department Chair by October 1st. The Chair will forward the dossier to the departmental NTRC faculty evaluation committee, which will, by mid October, make a written recommendation on promotion to the Chair. The Chair will make an independent review of the dossier and external letters if present and, taking into account the committee input, make a written recommendation to the Dean by November 1st. Likewise the Dean will make an independent review of the dossier and, taking into consideration the recommendations from the committee and the department chair, make a recommendation to the Provost. This recommendation will normally be received by the Provost by March 1st.

> ***Promotion to Associate NTRC Professor.*** Promotion to Associate NTRC Professor will be based on evidence of noteworthy activity in the areas of teaching/clinical practice, advising, and departmental, College and University service, as well as public service. While not required, candidates applying for promotion to Associate NTRC Professor may include evidence of scholarship/creative activity and professional development. This will be viewed favorably as it contributes to the teaching and research mission of the college.

> ***Promotion to Full NTRC Professor.*** Promotion to Full NTRC Professor requires compelling evidence of significant contribution to one's department, to the College and the University, and to the pedagogical or clinical aspects of one's field. While not required, candidates applying for promotion to Full NTRC Professor may include evidence of scholarship/creative activity and professional development. However, NTRC faculty are encouraged to contribute to the understanding and practice of teaching or clinical service by disseminating their contributions in national and regional conference presentations and in teaching-related or practice-related publications. Documentation of high-quality service is expected.

VII. Support

A. *Operating Support.* NTRC faculty will be provided the appropriate office and/or laboratory space and computer equipment, with access to the same support for their teaching and service role as tenure-track faculty (e.g., eTech, Active Learning college workshops). NTRC faculty are eligible for departmental and College travel and professional development funds.

B. *Teaching and Curricular Proposals.* NTRC faculty are eligible to apply for internal curricular development support on the same basis as tenure-track faculty. NTRC faculty may, and are encouraged to, submit proposals for internal and external grants.

C. *Salary Enhancements for Promotion.* Unless otherwise modified by practice, Assistant NTRC faculty Professors promoted to Associate NTRC Professor and Associate NTRC Professors promoted

to Full NTRC Professors will receive a 10 percent enhancement of base salary.

D. *Raises*. The raise process for NTRC faculty will be consistent with the raise process for TTF.

VII. Benefits

All NTRC positions are eligible for faculty benefits applicable to 9 month full-time non-tenured or non-tenure track faculty members as described on the UA benefits website, and as amended from time to time.

The *Faculty Handbook* defines a non-tenured faculty member as being either probationary (tenure-track) or temporary (with no right or expectation of continued employment beyond the period specified in the letter of appointment). All NTRC positions are akin to what the *Faculty Handbook* defines as temporary for purpose of interpreting applicable provisions in the *Faculty Handbook.*

VIII. Termination

The position is subject to policies and procedures of The University of Alabama, the College of Arts and Sciences, and the Department. The University reserves the right to terminate employment immediately if, in the judgment of the Dean and concurrence of the Provost, such action is warranted. Examples of instances in which employment may be terminated immediately include, but are not limited in any way to
- falsification of information on an employment application or other information concerning qualifications for a position;
- a pattern of unfair or abusive treatment of students;
- consistently substandard performance or academic incompetence;
- incompetence, neglect, or dishonesty in performance of duties;
- excessive absenteeism;
- a pattern of insubordination or failure to carry out reasonable, job-related duties assigned by a supervisor when such assignments are reasonable and non-discriminatory;
- a violation of State Ethics laws or other University policy, including but not limited to appropriating state or student equipment, time or resources for personal use or gain, fraudulent research or plagiarism, theft of University property, or unethical conduct;
- violation of UA's Harassment Policy or Policy on Consensual Romantic Relationships;
- committing a serious criminal offense, a crime involving moral turpitude, a felony, or a crime involving immoral or unethical conduct;
- illegal possession of a drug or controlled substance, or improper use of narcotics or intoxicants, which substantially impairs the faculty member's fulfillment of his/her departmental and university duties and responsibilities or violations of the University's Drug-Free Workplace Policy;
- a serious violation of one or more of the faculty behavioral obligations set forth in the Code of Conduct section of the *Faculty Handbook*; or
- any other behavior or condition, which significantly affects a faculty member's fitness to carry out his or her professional responsibilities.