



# Faculty Handbook

Revised: April 2019; Amended: May 2021

A handwritten signature in black ink that reads "Kecia M. Thomas". The signature is written in a cursive style with a horizontal line underneath it.

**Dr. Kecia M. Thomas**  
**Dean, UAB College of Arts and Sciences**

June 7, 2021

**Date**

A handwritten signature in black ink that reads "P. Benoit". The signature is written in a cursive style with a horizontal line underneath it.

**Dr. Pamela Benoit**  
**Senior Vice President for Academic Affairs and Provost**

June 7, 2021

**Date**

## Preamble

The UAB College of Arts and Sciences (CAS) Faculty Handbook is developed jointly by the faculty of the college, as represented by its Faculty Affairs Committee, and the Dean of the College of Arts and Sciences, with final approval by the Dean and Provost. It provides guidance to CAS faculty and administrators on matters of concern to CAS faculty and serves as a supplement to the UAB Faculty Handbook and Policies by specifying policies and procedures applying to faculty of the College. It thus provides a more school-specific statement regarding many of the standards in the UAB Handbook.

Policies described in the CAS Handbook are broad and do not address specific cases or situations. The CAS faculty should consult with their departments and, if necessary, with the Dean's Office about their individual situation (e.g., in regard to their promotion/tenure process).

The initial version of the CAS Handbook followed the College's creation on January 1, 2010. The Handbook will continue to evolve as the College evolves. The CAS Faculty Affairs Committee will be responsible for proposing future revisions to the Handbook as needed. Each approved version of the CAS Handbook will be available electronically to the CAS faculty.

## Shared Governance

Faculty members and administrators in the College of Arts and Sciences will act in accordance with the principles of shared governance. As broadly understood and as defined by the Association of Governing Boards of Universities and Colleges (AGB), "shared governance" refers to the way in which key constituents in institutional [university] communities—traditionally faculty, administrators, and board members—engage in achieving a common mission. It involves, to cite the 2017 AGB statement, "meaningful engagement and decision-making." It also incorporates values embraced in the Shared Governance statement passed by the UAB Faculty Senate. This statement can be found in Section 1 of the UAB Faculty Handbook and Policies.

## CAS Faculty Affairs Committee

The Faculty Affairs Committee (FAC) will serve as the primary faculty committee for CAS. The FAC will provide advice and recommendations to the Dean of CAS on matters of concern to the faculty including

- Perform reviews of the CAS Faculty Handbook every five years and develop proposed revisions to the Faculty Handbook. A simple majority of the FAC, who vote in the affirmative, will be considered approving the proposed revision on behalf of the CAS faculty. If the proposed revision is substantive, then the FAC will submit the proposed revisions to a vote of the entire CAS faculty for final approval. A simple majority of the full-time regular CAS faculty, who vote in the affirmative, will be considered approving the revision. For a revision to be considered not substantive, two-thirds of the members of the FAC who attend the meeting must vote in the affirmative that the revision is not substantive in nature. (A quorum for the meeting will be  $\frac{1}{2} + 1$  of the entire membership of the FAC.)
- Review CAS policies and procedures as needed.
- Review matters related to faculty affairs (currently in UAB Faculty Handbook section 2.11), including departmental criteria and procedures for new appointments, reappointments, promotions, awards of tenure, sabbaticals, and leaves of absence, although the Dean must make a determination.
- Facilitate the annual membership selection for the CAS Promotion & Tenure and the Curriculum & Education Policies Committees.
- In consultation with the Dean, and taking into consideration solicited recommendations from graduate program directors, select a faculty member to serve a three-year term as the CAS representative to the Faculty Senate's Graduate Curriculum Committee (GCC). The FAC also should select an alternate who can attend the GCC when the principal representative cannot and, in the event that the latter is unable to complete their three-year term, who can assume the representative's position for the duration of that term.
- Suggest new standing and ad hoc faculty committees as needed.
- Assists the Dean's Office in periodic reviews of the departmental faculty handbooks, per current CAS policy on review of departmental handbooks, published separately.

Each department will elect a tenured faculty member as its representative to the FAC. In cases where there are no eligible tenured faculty members available, a non-tenured full-time faculty member may be elected. Another faculty member of that department may substitute for the elected representative when they are unable to attend a FAC meeting. Substitutes may vote at any meeting which they attend. It is the responsibility of the elected member and the substitute to be informed on the issues that will be covered in a given meeting. Department chairs are

ineligible for service on the CAS FAC as are CAS faculty members who serve primarily in administrative positions at the college level or higher.

## **CAS Promotion and Tenure Committee, Timeline, and Procedures**

The CAS Promotion and Tenure Committee is a standing faculty committee of the CAS. The committee's role, membership, and procedures are described below. Within the general guidelines of both the UAB and the CAS Faculty Handbooks, departments should determine their own procedures for department-level Promotion and Tenure review.

### **Committee's Role**

The role of the committee is to evaluate candidates for promotion and/or tenure based on departmental, college, and university criteria.

### **Committee Membership**

The CAS Promotion and Tenure (P&T) Committee will be composed of twelve tenured faculty members. Nine of the committee members are to be elected by a vote of the entire CAS faculty and three of the committee members are to be appointed by the Dean of CAS. No department may have more than one member on the P&T Committee.

Membership on the Committee will be for a three-year term. Three elected and one appointed committee members will rotate off the P&T Committee each year. Elections will take place by May 15th of each year; terms begin August 15th and end August 14th.

The elected members on the Committee shall consist of three members from the arts and humanities departments, three members from the social and behavioral sciences departments, and three members from the mathematics and natural sciences departments to ensure representation across the various disciplinary areas of CAS. Two of the three elected members from each of these disciplinary areas should hold the rank of Professor to ensure adequate voting representation from each disciplinary area for promotion applications to that rank.

The Dean's appointments to the P&T Committee should address the need for a diverse committee, for balance across the CAS discipline areas, and for ensuring an adequate number of faculty at the rank of Professor to vote on promotion to that rank.

Each full-time regular CAS faculty member may vote for as many nominees as there are P&T Committee vacancies in each of the three disciplinary areas. The nominee in each of the three disciplinary areas receiving the largest number of votes will be elected to serve a three-year term. If there are remaining vacancies in a disciplinary area, the next largest vote getter will serve the next longest term and so on, until all vacancies are filled. If there is more than one nominee from a department, then only the nominee from that department who receives the most votes shall be elected to the committee. The FAC will supervise the election of members to the P&T Committee and will resolve any ties that affect committee membership.

Any elected P&T member unable to serve out the term to which the person has been elected will be replaced. The person will be replaced for the remainder of the term of service by a nominee in the same disciplinary area receiving the next largest number of votes in the annual P&T Committee election. If no such alternates are available, the replacement will be appointed by the Dean from the same disciplinary area and serve for the remainder of the current year. If any years of term of service remain beyond the current year, at the next P&T election there will be an additional vacancy in that disciplinary area for the remainder of the term.

Any appointed P&T member unable to serve out their term will be replaced by the Dean for the remainder of the term of service.

No candidate who is under review for promotion or tenure shall serve on the P& T Committee during the year of the candidate's review.

A member of the P&T Committee from the same department as a candidate under review shall not participate in discussions or vote on the P&T Committee about that candidate.

Department chairs are ineligible for service on the P&T Committee as are CAS faculty who serve in administrative positions at the college level or higher.

Where the P&T Committee or the Dean seeks further information about the candidate, both the Department Chair and the Chair of the Faculty Review Committee for that candidate in the department may be consulted. Consultations should be in writing.

The Committee will elect its chair, who will be a voting member of the Committee. The chair must hold the rank of professor.

**Arts & Humanities Departments:**

Art & Art History, English, Foreign Languages & Literatures, Music, Philosophy, Theatre

**Mathematics and Natural Sciences Departments:**

Biology, Chemistry, Computer Science, Mathematics, Physics

**Social & Behavioral Sciences Departments:**

Anthropology, Communication Studies, Criminal Justice, History, Political Science and Public Administration, Psychology, Social Work, Sociology

**Timeline\***

June 1: Department Chair sends list of the names of potential candidates for Promotion and/or Tenure to the CAS Dean.

February 1: Department forwards a complete set of requested promotion/tenure materials of

candidate to the CAS Dean.

\*This timeline is strictly enforced by the Dean's Office. Departments will establish their own internal timelines in order to meet the June 1 and February 1 deadlines. The deadline for the receipt of the recommendation letter from the CAS Promotion and Tenure Committee to the CAS Dean will be determined by the Dean and the chair of the CAS Promotion and Tenure Committee.

## **Promotion and Tenure Procedures**

The promotion and/or tenure application process for all faculty including non-tenure earning faculty shall begin at the CAS departmental level with a review by the department Promotion and Tenure committee of the application materials provided by the candidate. The candidate can find instructions and information about the documentation that the person should submit as part of the application on the Provost's website. Consistent with the current UAB Faculty Handbook, the department will provide a minimum of three letters of evaluation of the candidate's promotion and/or tenure application from reviewers external to UAB who are qualified to review the candidate's qualifications. These letters will become part of the application and of the departmental review leading to its recommendation. In the area of teaching, student evaluations should also be provided as part of the application.

Each candidate will be judged by the criteria outlined in the UAB, CAS, and departmental Faculty Handbooks in the areas of teaching, scholarship, and service in proportion to their relative importance to each academic rank, to the type of appointment held by the faculty member, and to the program priorities of the appointing unit. Each candidate shall be evaluated in these areas by the departmental Promotion and Tenure committee at UAB as well as by the external reviewers.

Within all CAS departments, departmental Promotion and Tenure committee members shall adhere to the following guidelines:

- Only tenured members of departmental Promotion and Tenure Committees regardless of rank may vote on tenure applications in accordance with the UAB Faculty Handbook.
- Only tenured faculty may vote on promotion applications of tenure-earning and tenured faculty.
- Only full-time faculty members at or above the rank to which the candidate under consideration is to be appointed or promoted may vote on such applications.
- The departmental Promotion and Tenure Committee will vote by secret ballot.
- The departmental Promotion and Tenure Committee will vote for promotion separately from a vote for tenure if a candidate is applying for Promotion and Tenure at the same time.
- An affirmative recommendation for promotion or tenure by the departmental Promotion and Tenure Committee requires positive votes from a simple majority of its voting members.

Letters of review written by department Promotion and Tenure committees and by department chairs should be written so that faculty from any of the diverse disciplines in the CAS can clearly

understand the requirements for promotion (and awarding of tenure, if applicable) as set out in the department Promotion and Tenure policies. These letters should also address the reasons why the department committee or department chair felt that the candidate has or has not met those requirements.

It is the department chair's responsibility to ensure promotion and/or tenure applications are complete in accordance with the Provost's guidelines and submitted to the CAS Dean on time.

Regarding CAS Promotion and Tenure Committee members voting on promotion and/or tenure:

- In order for a CAS Promotion and Tenure Committee member to vote on promotion and/or tenure, the member must participate in the committee's discussion in person or remotely. Each CAS Promotion and Tenure Committee member must be present for the committee's discussion and to place a vote.
- All CAS Promotion and Tenure Committee members regardless of rank may discuss and vote on all tenure applications.
- Only CAS Promotion and Tenure Committee members holding the rank of professor may vote on applications for the rank of professor. P&T Committee members, regardless of rank, may participate in the discussion. Departmental P&T committee representatives may be solicited for advice and clarification.
- The CAS Promotion and Tenure Committee will vote by secret ballot.
- The CAS Promotion and Tenure Committee will vote for promotion separately from a vote for tenure if a candidate is applying for Promotion and Tenure at the same time.
- An affirmative recommendation for promotion or tenure by the CAS Promotion and Tenure Committee requires positive votes from a simple majority of its voting members.

Faculty members charged with writing letters to the Dean of CAS based upon the discussion and vote of the CAS Promotion and Tenure Committee should consider including the following in crafting each letter: a description of the process; an evaluation of the candidate's scholarship, teaching, and service as appropriate to the candidate's faculty title; a review of the external reviewers' letters, department committee's letter, and department chair's letter; the CAS Promotion and Tenure Committee's vote; and, the substantive issues that relate to the vote.

Only the candidate may add information to the candidate's application materials once it is submitted at the beginning of the Promotion and Tenure review process. If a candidate's vitae has work listed as "submitted" or "in review" that gets accepted (or rejected) at any point in the review process, the candidate should update the CAS Promotion and Tenure Committee by

inserting the new information into the candidate's application materials and making a note of such within the application.

Candidates for promotion and/or tenure should be informed in writing of all decisions at each point of the review process, up to and including the decision of the CAS Promotion and Tenure Committee. The reporting of decisions must be done in such a way as to protect the confidentiality of the process. The UAB Faculty Handbook states that deans will inform candidates of their review decisions.

A candidate may choose to withdraw their application from the review process at any point.

In accordance with the UAB Faculty Handbook, the CAS Promotion and Tenure Committee will review all potential offers for a faculty member proposed to be hired with tenure at UAB. In such reviews, all P&T Committee members may discuss and vote on applications for tenure. If the hire is at the full professor level, only P&T Committee members holding the rank of professor may vote on rank. P&T Committee members, regardless of rank, may participate in the discussion. Departmental P&T committee representatives may be solicited for advice and clarification.

The CAS Promotion and Tenure Committee will not address reappointments of non-tenure earning faculty. The Dean must make a determination in this regard.

### ***Promotion of Non-Tenure-Earning Faculty***

Requests for promotion of non-tenure-earning faculty must come before the CAS Promotion and Tenure Committee and will be handled by that committee according to the Promotion and Tenure section of this Handbook. The process for promotion will follow the same procedure as outlined in this section, Promotion and Tenure Procedures. Each candidate shall be judged by the criteria outlined in the UAB, CAS, and departmental Faculty Handbooks in the areas of teaching, scholarship, and/or service in proportion to their relative importance to the academic rank of the promotion, to the type of appointment held by the faculty member, and to the program priorities of the unit. In accordance with the UAB Faculty Handbook, a minimum of three letters of evaluation of the candidate's promotion application will be provided from reviewers external to UAB who are qualified to review the candidate's qualifications. In the area of teaching, student evaluations should also be provided as part of the application.

## CAS Dean's Award for Excellence in Teaching Committee

The *Dean's Award for Excellence in Teaching* recognizes full-time regular faculty members of CAS in the three distinct areas noted below who have demonstrated exceptional accomplishments in teaching:

- **Arts and Humanities:** Art and Art History, Music, Theatre, English, Foreign Languages and Literatures, History, and Philosophy
- **Natural Sciences and Mathematics:** Biology, Chemistry, Computer Science, Physics, and Mathematics
- **Social and Behavioral Sciences:** Anthropology, Communication Studies, Criminal Justice, Political Science and Public Administration, Psychology, Social Work, and Sociology

Eligibility is limited to individuals with full-time regular faculty status at UAB for a minimum of three years. An individual may receive the award only once in any three-year period. Further information about criteria for selection and nomination procedure are published by the Dean's Office and typically available on the CAS website.

The Dean will appoint a five-member selection committee. The members shall include full-time regular faculty members of diverse backgrounds, with as many past recipients of the *President's Award for Excellence in Teaching* as possible. Past recipients of the *Dean's Award for Excellence in Teaching* will also be considered. The committee appointments shall be for three years and members will hold staggered terms on the committee.

The committee will elect a chairperson annually. The chairperson shall assume the responsibility of insuring that nominations are solicited from students, faculty, and alumni. The chairperson will be a voting member of the committee.

After nominations are received, the committee shall meet to determine the most competitive finalists, based on the strength and quality of the nominations received. Note: Nominations from a preceding year are not taken into consideration.

After full review of the documentation for each finalist, the committee shall make their final selections and submit them to the Dean.

The three winners will be considered for the final CAS nominee for the *President's Award of Excellence in Teaching*.

All deliberations and information provided to the committee shall be considered confidential and not shared with anyone outside of the committee. All communications with faculty or administrators concerning the nominees shall be made by the chair of the committee and their designee.

## CAS Curriculum and Educational Policies Committee

The primary responsibility of the Curriculum and Educational Policies Committee (CEPC) will be to review all proposals regarding CAS-wide educational policies and initiatives, and to make recommendations to the Dean including any timelines with respect to their implementation. The CEPC will also review proposals for new programs (majors, concentrations, minors, certificates, departmental honors curricula, online programs, etc.), as well as substantive curricular modifications to existing programs and majors, and make recommendations to the Dean when warranted. The Chair(s) of the department(s) will submit department-initiated curriculum proposals and revisions to the Dean, who decides whether to forward to CEPC.

### Membership:

- CAS Curriculum and Educational Policies Committee shall consist of nine members elected for three year terms. Terms shall be staggered so that one-third of the members are elected each year. Two-thirds of the members should be tenured. (#4)
- The Committee shall consist of one member from the Arts, two members from the Humanities, two members from the Life Sciences, two members from the Physical Sciences & Mathematics, and two members from the Social Sciences.\*
- Committee members from each discipline area shall be elected by the full-time faculty in that discipline area, e.g., the member from the Arts will be elected by the faculty from the departments in the Arts.\*
- Committee members shall include not more than one member from any department.
- Committee members shall serve for three-year terms beginning August 15th. If a member is unable to fulfill the remainder of the term, a replacement will be elected by the faculty in the discipline area of the committee member in which the vacancy occurred.
- Out of the nine members elected to the CEPC, three members shall serve on the UAB Undergraduate Curriculum Committee (UCC). Three alternates shall also be selected. The election of persons to fill the vacancies on the UCC will be done by the CEPC membership at its first meeting of the academic year.
- Out of the nine members elected to the CEPC, one member shall serve on the UAB Graduate Curriculum Committee (GCC). One alternate shall also be selected. The election of persons to fill the vacancies on the GCC will be done by the CEPC membership at its first meeting of the academic year. The CAS representatives to GCC must have graduate faculty appointments.
- Committee members shall not serve for more than two consecutive terms.
- Committee members shall be full-time CAS faculty members from any rank and tenure status.

- The Committee shall have a Chair and a Chair-Elect. The Chair-Elect shall serve as the Vice-Chair in the year preceding their term as Chair. The Chair/Chair-Elect of the Committee shall be elected by the committee membership at the first meeting of the academic year.
- The Chair of CEPC will inform the CAS FAC of any proposed curriculum changes that could potentially impact one or more of the CAS departments. This should be done within two weeks of the CEPC proposing the change to their members. The FAC will have an opportunity to announce the proposed change to the FAC members, and the Chair of FAC will report any concerns or essential feedback to the Chair of CEPC and the CAS Dean's Office within two weeks since the announcement.
- The CAS Associate Dean responsible for undergraduate academic affairs shall serve on the CEPC in an ex-officio capacity.
- Nominations may come from the faculty in each disciplinary area and voting by the faculty will occur within each disciplinary area by May 15th for the selection of new members for the CEPC.

Discipline Area and Departments:

**Arts:** Art & Art History, Music, Theatre

**Humanities:** English, Foreign Languages & Literatures, History, Philosophy

**Life Sciences:** Biology, Psychology

**Physical Sciences:** Chemistry, Computer Science, Mathematics, Physics

**Social Sciences:** Anthropology, Communication Studies, Criminal Justice, Political Science and Public Administration, Social Work, Sociology

\*The classification of departments within a discipline area is based on similarity of programs and types of degree programs offered at UAB. Committee membership from each discipline area was apportioned on the basis of number of undergraduate majors, graduate enrollment, and credit hour production.

## Sabbaticals

A regular faculty member is eligible for a Sabbatical after six academic years of full-time service. The College of Arts and Sciences defines one academic year of full-time service as a full-time load for two semesters. Sabbaticals are requested by the faculty member and must be approved by the Chair, Dean, Provost, and President.

**Addendum No. 1. According to the *UAB Faculty Handbook and Policies*:**

**Review for Reappointment for Non-Tenure-Earning Faculty, Section 2.13.1**

Must be reviewed by department chair on a schedule that allows adequate notice regarding reappointment

May be initially appointed for up to five years

May be renewed for more than one year

**Review for Reappointment for Non-Tenured (Tenure earning) Faculty, Section 2.13.2**

Must be reviewed at least every two years by department chair or in accordance with other departmental, school/college, or library procedures, on a schedule that allows adequate notice regarding reappointment

Chair must advise, in writing, faculty member and dean each year regarding progress and continued need for their services

Initially appointed for two years unless otherwise noted in LOO

Section 2.10 of the Faculty Handbook sets forth the criteria to be used in promotions (Effectiveness as a Teacher, Effectiveness in Scholarly Activities, and Effectiveness in Service Activities), and reviews should be aligned with these criteria

**Annual Evaluations, Section 2.14**

Must be in writing and signed by both the chair and the faculty member

Serve as mechanism to measure and enhance faculty members' professional development and productivity, to assist faculty members in achieving their professional goals and the goals of the academic unit and university

Department chair is responsible for annual, written evaluation of all regular faculty (NTE, TE, and T) and providing feedback concerning past and future faculty performance

Should be aligned with criteria for promotion and tenure (Section 2.10) and the UAB Standards of Behavior found in Section 7.3 of the You and UAB Faculty and Staff Handbook

Copies of written evaluations must be provided to faculty members and placed in the faculty member's department activity file, to which every faculty member must be given access

## Addendum No. 2, University-Wide Form and policy for applying for Sabbaticals (No. 6)

[https://uabsign.na2.documents.adobe.com/public/esignWidget?wid=CBFCIBAA3AAABLblqZhD8U6vFo0HBTAgVqmZE9UOOvWJbeqJlecQaomDQI9p8\\_ovdZ4I4ayAh9MgccA-cMRI\\*](https://uabsign.na2.documents.adobe.com/public/esignWidget?wid=CBFCIBAA3AAABLblqZhD8U6vFo0HBTAgVqmZE9UOOvWJbeqJlecQaomDQI9p8_ovdZ4I4ayAh9MgccA-cMRI*)