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University guidelines and updated policies may be found online:
www.uab.edu
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The UAB Graduate School

The Graduate School administers doctoral programs in 38 areas, post-masters education specialist programs in 8 areas, and master’s level programs in 50 areas, with additional programs planned for the future. A particular strength of the school is its many programs that unite different disciplines by crossing departmental and school lines.

As a graduate student, you should expect many challenges as you build upon your previous educational experiences in new and exciting ways. You will find that graduate education has a distinctly different character from that of undergraduate education. You will explore your chosen area of study in greater depth, but you will also be challenged to reach across boundaries and address larger intellectual issues. There will be greater emphasis on originality and the creation of new knowledge.

Our graduates have used the knowledge and intellectual skills acquired in Graduate School to follow a wide variety of professional paths in academia, government, industry, and the private sector. We encourage you to take full advantage of the resources of this great university to reach your full potential. As you proceed through your graduate study, we hope that you find your horizons widening and that you will leave prepared for a rewarding professional life.

This handbook is designed to provide you with a general reference to the essentials needed for successful navigation through your graduate career. Take time to familiarize yourself with the contents and also with the specific policies of your own graduate program. The Graduate School staff is always available to answer your questions and provide assistance, but you will find that many of your questions about the policies and procedures surrounding important milestones in your graduate career are answered in the pages that follow. The policies that are reprinted here are those that are most pertinent to graduate students. They address specific aspects of academic performance, academic and non-academic conduct, and student responsibilities. UAB students are expected to be familiar with these policies and to abide by them. Failure to do so may impede a student’s progress or may result in disciplinary action and, in some cases, dismissal. Other policies printed below address UAB’s responsibilities to its students. All policies are subject to revision. Students are advised to consult the UAB Polices and Procedures Library at http://sppublic.ad.uab.edu/policies/Pages/default.aspx for the most current versions of these and other UAB policies.

The Graduate Council

The Graduate Council is comprised of all graduate program directors. The Graduate Council Advisory Committee is a subset of these program directors who have been designated by their school deans to serve in an advisory capacity to the Graduate School Dean. The Graduate Council Advisory Committee has developed policies and procedures to ensure that high standards for graduate study are maintained at UAB. These policies and procedures are available at the Graduate School’s Web site (http://www.uab.edu/graduate/component/content/article/23-students/catalog/72-policies-and-procedures).

The Graduate Council Advisory Committee, through consultation with the Dean, is responsible for developing academic requirements and describing these requirements through appropriate policies. The Dean, through consultation with the Graduate Council, is responsible for developing procedures that effectively enforce academic requirements and implement policies.

The Advisory Committee reviews academic requirements, policies, procedures, and Graduate School activities. The committee recommends and approves appropriate changes. Changes in academic requirements and related policies require a majority vote of the Advisory Committee.

The Graduate Faculty

Graduate faculty membership may be granted by the Dean of the Graduate School to faculty members who demonstrate a high level of competence in teaching and scholarship. Graduate faculty membership is required (a) of all individuals teaching courses for graduate credit and (b) of members of graduate study committees. A complete listing of the graduate faculty can be found on the Graduate School Web site (http://www.uab.edu/graduate/gradfaclist).

Graduate School Professional Development Program

Through its Professional Development Program, the Graduate School offers courses, workshops and seminars designed to help graduate students, postdoctoral fellows, and other academic professionals develop communication and other career-enhancing skills. Current offerings include credit-bearing courses and workshops, as well as free seminars, in writing, funding, presentations, and teaching at the college level. More information and schedules are available at the Professional Development Program’s Web site (www.uab.edu/pdp).

Graduate Degree Programs

Program and Course Information

The online Graduate Catalog provides details of degree requirements beyond the general statements in this handbook. Specific graduate level courses are also listed.
Combined Degree Programs

UAB offers students opportunities to pursue two advanced degrees concurrently. These are limited primarily to students pursuing both a research degree (such as the Ph.D. or M.S.) and a professional degree (such as the M.D., D.M.D., O.D., or M.P.H.). Students wishing to be enrolled in two programs concurrently should submit an application to each program. UAB also offers a limited number of 5th year Masters (Fast Track) programs for students who wish to earn both the Bachelors and Masters degree in five years.

A minimum number of credit hours must be met for each degree. Courses may be used to fulfill requirements for one degree, but not to fulfill the requirements for both degrees.

Concurrent Degrees

Students who do not qualify for a combined degree program but wish to begin work toward a second advanced degree may earn up to 12 semester hours in the additional program (without special permission) while simultaneously earning credit toward the original degree. However, no more than 12 semester hours earned in the first degree program may ever be applied toward the second degree.

Student Organizations and Activities

Graduate students at UAB have many opportunities to become involved in the life of the university. Information about additional groups, both on and off campus, can be found in the UAB Student Handbook, Direction at http://www.uab.edu/handbook/

Graduate Student Government

UAB graduate students are represented by the Graduate Student Government (GSG), which works closely with the Graduate School and other offices of the university administration in formulating policies and meeting student needs. All graduate students are automatically members of the GSG, and the GSG Senate is composed of student representatives from the various graduate programs. The GSG provides partial funding for graduate student travel to professional meetings. The organization cosponsors a variety of services and activities, including the Honors Convocation, Graduate Student Research Days, Graduate Student Orientation, and the GSG Emergency Loan Fund. Information on the new Graduate Student Medical Assistance Fund and travel grants may be obtained on the GSG Web site (www.uab.edu/gsg).

Black Graduate Student Association

The Black Graduate Student Association (BGSA) was founded in 1993. The BGSA sponsors social events, informational sessions on topics of interest, community services, and an annual conference. For detailed information about the BGSA, visit the Web site at http://www.uab.edu/bgsa/.

UAB Graduate Career Awareness and Trends (GCAT)

The UAB GCAT, previously called the Industry Roundtable, is a student-initiated and student-run informal discussion group open to all graduate students and dedicated to fostering a greater awareness of career opportunities outside academia.

Its goals are to provide a forum for networking with industry representatives; establish an interface between academia and industry; introduce students to the process of making industry contacts; encourage students to comment, ask questions, and seek advice from nonacademics; stimulate students to begin career development early in their educational experience; and provide information to students about career opportunities outside academe. More information regarding the GCAT can be found at http://www.uab.edu/gcat/

Graduate Student Research Days

Graduate Student Research Days (GSRD) is an annual competition in which graduate students present their original research in an open forum. Deadlines for submitting abstracts for GSRD are announced at the beginning of spring semester and are available at the GSRD Web site (www.uab.edu/graduate/researchday). Awards are presented at a Graduate School Awards Ceremony each spring semester.

General Academic Requirements

Categories of Graduate Student

Two broad categories of graduate students are recognized: degree-seeking and nondegree-seeking.

Degree-Seeking Students

Degree-seeking graduate students are those accepted into a specific graduate program to work toward a specific advanced degree. In addition to the completed online application, the application procedure includes the submission of official transcripts, standardized test scores, and letters of recommendation. Each application is reviewed by the faculty of the graduate program to which the student has applied, who then make an admissions recommendation to the Graduate School Dean or a representative of the Graduate Dean.

Nondegree-Seeking Students

The nondegree category serves students who do not wish to pursue a graduate degree at UAB, as well as those who wish to begin graduate study before
being admitted to a degree program. Not all graduate courses are open to nondegree-seeking graduate students. Although there is no limit to the number of credit hours that may be earned as a nondegree-seeking student, should a student later wish to pursue an advanced degree at UAB, the credit earned while in nondegree-seeking status is not automatically acceptable toward the degree. A request for transfer of non-degree seeking credits will not be considered until the student has completed at least 9 semester hours of graduate credit in the current UAB program and is in good academic standing. **In no case can more than 12 semester hours earned as a nondegree graduate student be applied toward an advanced degree at UAB without prior permission of the Graduate School dean.**

Because of U.S. immigration requirements, international applicants (i.e., those who are neither U.S. citizens nor permanent residents) cannot normally be considered for the nondegree category unless already residing in the United States. Immigration laws should be consulted to determine eligibility of international students.

Unless otherwise stated, the policies in this section apply to both degree-seeking and nondegree-seeking graduate students.

Information on applications for admissions can be found on the Graduate School Web site (http://www.uab.edu/graduate/current-students/prospective-students)

**Special Conditions of Admission**

**Admission with Contingencies**

Students lacking a limited number of specific qualifications may be admitted to graduate programs contingent on completion of those qualifications within a specified period of time. Students are informed of specific requirements for continued enrollment and the time allowed for completion at the time of admission. Failure to meet the requirements during the stipulated time may result in dismissal.

**Admission of Students Previously Dismissed**

When any individual applies to a graduate program, a major part of the admissions decision involves an estimate, based on the applicant’s academic history, of whether the applicant can perform satisfactorily at the graduate level. To be readmitted, applicants who have previously been dismissed from the Graduate School based on unsatisfactory academic performance must present convincing evidence to the faculty and the Graduate School Dean that a substantial improvement has occurred so that it is probable that the applicant can now perform at the required level in graduate work.

**Readmission**

The records of students, who have not registered for courses for one year or more, will be removed from the UAB computerized registration system. Such students must apply for readmission before they may register again. Degree-seeking students who (1) were admitted to a UAB Graduate Degree-Seeking Program within the last five years, and (2) have not registered for courses for one academic year (3 semesters) or more BUT have registered for and successfully passed at least one graduate course at UAB after being admitted to a UAB Graduate Degree-Seeking Program, and (3) have not attended any other university or college in the interim, and (4) wish to return to the graduate program to which he or she was earlier admitted, must fill out the Application for Readmission to Graduate Degree Program form and pay the appropriate fee. These readmitted students must meet the degree requirements operative at the time of readmission. Students who wish to return to the nondegree category after an absence of one or more years must submit a new nondegree online application with the required processing fee. This form can be submitted online at http://www.uab.edu/graduate/ > Apply Now.

**Faculty**

To maintain university accountability, UAB faculty and staff who wish to take occasional graduate courses must register for these courses after admission to the Graduate School in the nondegree-seeking status. Admission of a UAB faculty member as a degree-seeking graduate student requires the concurrence of the applicant’s department chair and dean(s), as well as the approvals required for other applicants to the same program. For more information regarding Educational Assistance, visit the UAB Human Resources Web page at http://www.uab.edu/humanresources/home/benefits

**Graduate Credit**

For purposes of academic accounting, credits expressed in “semester hours” are assigned to each course. The guideline for lecture courses is that one semester hour of credit is awarded for 13-15 contact hours. Laboratory credit is assigned on the basis of one semester hour of credit for approximately 30 hours of work in the laboratory.

**Undergraduates Seeking Enrollment**

UAB undergraduate students may be allowed to enroll in a graduate course with the approval of their advisor, the course instructor, their undergraduate program director, and the graduate program director. The Undergraduate Student Request for Enrollment in Graduate Level Coursework form can be obtained online (http://www.uab.edu/graduate/online-forms). Credits earned by undergraduate students may be applied to either an undergraduate degree or a graduate degree, but not both. If the student is subsequently admitted to the Graduate School, use of this credit toward a graduate degree requires the approval of the graduate program director and the
Graduate School Dean.

**Course Numbering System**

The scholastic level of UAB courses is indicated by the century number. Courses numbered 500 and above are graduate and post baccalaureate courses. Courses numbered 500-599 are available to upper-level undergraduate and beginning graduate students. Courses numbered 600 and above are for graduate students. Those numbered 600-699 are intended primarily for students at the master’s level, with 698 reserved for nonthesis research and 699 reserved for thesis research. Courses numbered 700-799 are primarily for students at the doctoral level, except in the School of Education where the numbers from 700-729 are reserved for courses leading to the degree of Educational Specialist (Ed.S.). The number 798 is reserved for nondissertation research and 799 for dissertation research. Seminars, practica, individual studies and projects, internships, and residencies will generally carry numbers in the upper range of these centuries.

**Time Limitations**

Graduate students are generally expected to complete all degree requirements within 5 years of matriculation for masters and 7 years of matriculation for doctoral students. One extension of these time limits can be requested when mitigating circumstances preclude completion of requirements within 5 years (masters) or 7 years (doctoral). The request for an extension should include a plan and timeline for completion. Such requests require the approval of the student’s dissertation committee and graduate program director and must be presented in writing to the Dean of the Graduate School for consideration and approval. All such requests must be accompanied by a written and signed Completion Plan. Instructions for preparing a Completion Plan may be downloaded from the Graduate School website at [http://www.uab.edu/graduate/current-students/online-forms](http://www.uab.edu/graduate/current-students/online-forms). Courses taken more than 5 years (masters) or 7 years (doctoral) before graduation may not be applied toward a degree without the approval of the graduate program director and Graduate Dean.

**Leave of Academic Absence**

A graduate student may request a leave of academic absence. The request for a leave of academic absence may not exceed one (1) academic year. The Request for Leave of Academic Absence form can be found at the Graduate School Web site ([http://www.uab.edu/graduate/current-students/online-forms](http://www.uab.edu/graduate/current-students/online-forms)). The request must be approved by the student’s graduate program director and Graduate School Dean. Before a student can return from an approved leave of academic absence, the graduate program director must submit to the Graduate School a request to allow the student to re-enroll in courses.

**Course Enrollment**

**Registration**

Students must register for all work to be taken for graduate credit.

1) Full-time enrollment for an academic year (fall, spring and summer) is required for students on fellowships and assistantships, and is defined as:
   a. at least 9 semester hours in the fall and spring semesters, and
   b. registration for credit hours in the summer at a minimum level established by the academic unit (school, college, department or graduate program).

2) Students enrolled in programs that traditionally only offer course work and research opportunities during fall and spring semesters are considered to be full-time even if they do not enroll during the summer terms.

3) Certain funding sources (e.g., training grants, individual grants and fellowships) may have additional enrollment requirements that must also be satisfied. In addition, student loan recipients must satisfy certain minimal enrollment requirements to defer repayment. Students should consult with their funding source or the Financial Aid Office to determine these requirements as they apply to their specific situation.

4) To be classified as “half-time”, a graduate student must register for at least 5 graduate credit hours of work each semester. If you are a degree-seeking student, you must be enrolled at least “half-time” to receive financial aid.

The UAB class schedule can be found on the BlazerNET website located at [http://www.uab.edu/blazernet](http://www.uab.edu/blazernet). The class schedule lists the courses and other work to be offered and gives full details on prerequisites, registration dates, and procedures.

**Adding or Changing Courses**

Adding or changing courses after registration is possible each semester until the date specified on BlazerNET. Procedures are also specified.

**Withdrawal from Courses**

Graduate students are expected to complete courses for which they have registered, unless unusual circumstances require withdrawal. The procedures for withdrawal are specified on BlazerNET. Mere cessation of class attendance does not constitute withdrawal, either
**accidentally or for tuition charges.** If you must withdraw from a class or classes after the Add-Drop period, the withdrawal request must be made no later than the posted date for all withdrawals. Check the Academic Calendar, [https://www.uab.edu/students/academics/academic-calendar](https://www.uab.edu/students/academics/academic-calendar), for the appropriate semester to verify the last date for withdrawal. If a student follows the procedures to withdraw in BlazerNET, then a grade of “W” will be entered on the transcript.

**Credit by Examination**

Students may not earn “credit by examination” at the graduate level.

**Audits**

Graduate students may audit courses available for graduate credit with the permission of the instructor and payment of appropriate fees; this approval must be secured before registration. Courses taken for audit credit are not counted toward the hours required for full-time status. Provided that the instructor’s requirements are met, the course will appear on the transcript with the notation AU. The request to audit form can be obtained online at [http://www.uab.edu/graduate/online-forms](http://www.uab.edu/graduate/online-forms).

**Course Completion**

**Grading System**

The grade of A is used to indicate superior performance, B for adequate performance, and C for performance only minimally adequate for a graduate student. In most programs, a grade of C is a failing grade. Any graduate student completing a course at the 500 level or above with a performance below the C level will receive a grade of F. The Graduate School does not use the grade of D.

**Grades in Pass/Not Pass Courses**

With the approval of the graduate program director, a course may be designated as a “pass/not pass course.” The grade of P (passing) signifies satisfactory work. The grade of NP (not passing) indicates unsatisfactory work, without a penalty being assessed with respect to the grade point average (GPA). Research courses with course numbers 698, 699, 798, and 799 are considered pass/not pass courses.

**Temporary Grade Notations**

Temporary notations used by the Graduate School are N for “no grade reported,” and I for “incomplete” coursework.

If there is a special circumstance in which an instructor does not submit a grade at the end of a semester, a temporary grade of N will be recorded. If no permanent grade has been reported by the end of the following semester, an F will automatically be entered in the student’s academic record.

The temporary notation of I may be reported at the discretion of the instructor to indicate that the student has performed satisfactorily in the course but, due to unforeseen circumstances, has been unable to finish all course requirements. An I is never given to enable a student to raise a deficient grade. This notation should not be used unless there is reasonable certainty that the requirements will be completed during the following semester, because at the end of that semester, the I automatically changes to an F if the I has not been replaced with a letter grade. In highly unusual circumstances, the student may request an extension of the time to complete the requirements. This request must be submitted in writing in advance of the time when the grade automatically changes to an F because the approval of the instructor, graduate program director, and Graduate School Dean are all required.

**Cumulative Credits and Grade Point Average (GPA)**

**Semester Hours Earned**

The student’s “semester hours earned” are increased by (1) earning a grade of C or better in a course for which the student was registered on a regular (“letter grade”) basis or (2) obtaining a P grade in a course taken on a pass/not pass basis.

**Semester Hours Attempted**

The student’s “semester hours attempted” are increased by receiving a grade of A, B, C, or F in a course for which the student was registered on a regular basis.

**Quality Points**

Four quality points are awarded for each semester hour in which an A is earned, three quality points are awarded for each semester hour in which a B is earned, and two quality points are awarded for each semester hour in which a C is earned. No quality points are added for other grades.

**Grade Point Average (GPA)**

The grade point average is determined by dividing the total quality points awarded by the semester hours attempted.

**Repeated Courses**

Graduate students are allowed to repeat courses for graduate credit only with the permission of the graduate advisor and graduate program director. All courses taken and all grades earned are permanently recorded on the student’s transcript. The first time a student repeats a course, he or she receives the grade earned for the second attempt. If a course is taken three or more times, all grades after the first are counted. The Graduate School Records Office must be notified of the first repeat after the grade has been earned because the calculation using the repeat grade is not automatic. Some graduate programs may not allow the Repeated Course...
policy. Check with your advisor to make sure your program has a repeat policy. Note: Many graduate programs also base retention decisions on programmatic guidelines and not on grade point average.

Academic Performance

Good Academic Standing

For a student to maintain good academic standing in the Graduate School, a grade point average of at least 3.0 (B average) and overall satisfactory performance on pass/not pass courses are required. Satisfactory performance on pass/not pass courses is defined as earning at least as many hours of P grades as hours of NP grades.

Conditional Dismissal

A degree-seeking or nondegree-seeking graduate student, who has been in good academic standing but who, at the end of any semester, fails to meet the criteria to continue in good academic standing will be placed on probation. Such a student must re-establish good academic standing within the next two semesters of graduate study undertaken. Students who do not accomplish this level of performance will be dismissed from the UAB Graduate School.

The rules stated above govern university probation and dismissal, administered by the Graduate School. Individual graduate programs may establish and administer program probation and dismissal governed by more stringent requirements. In general, a student’s retention in a specific graduate program is contingent on the faculty’s belief that the student is likely to complete the program successfully. If the faculty ceases to hold this belief, the student may be dismissed from the program.

UAB Student Records Policy

Federal law guarantees students certain rights with respect to their educational records. It is the student’s responsibility to become familiar with the university’s stated policies on these rights (i.e., Student Records Policy).

Graduate School Deadlines

All Graduate School deadlines, as indicated on the calendar or in explanation of policies and procedures, unless otherwise stated, are final by 5:00 p.m. on the date specified, by which time all transactions must be completed and documents received in the Graduate School. Transactions and documents requiring the action or approval of graduate advisors, committee members, instructors, department chairs, academic deans, or others prior to receipt by the Graduate School should be initiated by the appropriate person (student, instructor, graduate advisor, or other) sufficiently in advance of the Graduate School deadline for the required actions to be taken and approvals made or declined before the deadline. Deadline dates are available online at http://www.uab.edu/graduate/deadline-dates.

Responsibilities of the Graduate Assistant or Trainee

A fundamental responsibility of the graduate assistant is to work closely with the faculty supervisor in carrying out research or teaching activities, while at the same time making good progress toward the completion of the degree program. If the student’s assistantship responsibilities and academic program are properly coordinated, these responsibilities will be compatible. The assistant should articulate his or her goals early in the term of appointment and work with the supervisor to achieve them. The graduate assistant is obligated at all times to maintain high ethical standards in academic and nonacademic activities, and to report violations of these to the faculty supervisor. The graduate assistant should stay well informed of departmental, school, and institutional regulations, and follow them consistently. If problems arise in the assistantship assignments, the graduate assistant should seek help first from the faculty supervisor. If problems cannot be resolved, the student should consult the Program Director.

In general, graduate assistants are expected to be available in the periods between academic terms. Graduate assistants are entitled to the following short-term leaves:

- A maximum of 15 calendar days (one-half month) paid leave of absence (vacation) per calendar year,
- 3 calendar days paid sick leave of absence per calendar year, and
- Parental leave of absence (with pay) of 30 consecutive days per calendar year upon the birth or adoption of a child. Either or both parents are eligible for parental leave.

These leaves (vacation, sick, parental) do not accrue. All leaves must be requested and require approval by the mentor and graduate program director. With the agreement of the mentor and graduate program director, extended, unpaid, non-emergency absences from campus for periods up to a month may be approved. Extended absences (without pay) for non-academic purposes should be limited. Program policies regarding leaves of absence must apply equitably to all full time students in good standing in the program. Students should consult the Graduate School Policies and Procedures concerning leaves of academic absence. In emergencies, graduate assistants should inform their mentors or program directors as soon as possible about the need for a leave of academic absence. NOTE: Graduate students (Trainees and Assistants) are not eligible for FMLA.
Graduate Level
Postbaccalaureate or Post-Master's Certificates

Several UAB graduate programs offer Certificates which do not involve conferral of either a Masters or Doctoral degree. Earning a certificate usually involves taking a specific set of graduate level courses which is designed to provide the Certificate holder expertise in a specialty area of a profession or practice. Certificate programs often consist of 12 or more credits of course work. In some cases the nature of the course work is specified by skill requirements, or may be mandated by State level requirements, for example, by the Alabama State Department of Education.

Certificate requirements vary by discipline. Therefore students should determine what the requirements are of the Certificate program in which they are interested by communicating directly with the program director of the program in which the Certificate is offered. In general, financial aid is not available for certificate programs.

Requirements for the Master's Degree

Faculty Advisor

Immediately after a degree-seeking student enters the UAB Graduate School, a member of the faculty of the graduate program to which the student has been admitted should be assigned to serve as the student’s advisor. The assignment may be a temporary arrangement. The student and the advisor should confer about courses and any special work to be taken on the basis of the student’s previous experience and the requirements of the graduate program.

Graduate Study Committee

As soon as possible, a specific plan of study should be developed. Traditionally, graduate study is highly flexible and individualized, and a graduate study committee is appointed, chaired by the student's advisor, to guide the student toward the degree. (Some graduate programs, particularly where flexibility in the course of study is limited by accreditation and other external constraints, do not always use a graduate study committee for Plan II students.) When used, the committee should consist of at least three Graduate Faculty members, one of whom should be from outside the student's graduate specialization and each of whom should be able to contribute some relevant insight and expertise to guide the student. Recommendations for graduate study committee membership are submitted by the advisor and the student to the graduate program director, who subsequently submits these recommendations to the Graduate School Dean.

Committee members must have credentials equal to or exceeding that of the degree that the student is pursuing and must have been approved by the Graduate School Dean for Graduate Faculty status. Graduate faculty appointees and instructions for requesting new appointments are available at http://www.uab.edu/graduate/gradfaclist. New Graduate Faculty appointments should be requested by the department and approved by the Graduate School Dean prior to being listed on the recommendation form to serve as a member of a student’s committee. Graduate Faculty status definitions are available at http://www.uab.edu/graduate/gradfaclist/definitions-of-graduate-faculty-categories.

Changes to a student’s committee must also be submitted on the appropriate form available at http://www.uab.edu/graduate/online-forms.

Plan I or Plan II

The Graduate School recognizes two principal paths, known as Plan I and Plan II, that lead to the master's degree. One or the other of these plans may be appropriate in particular circumstances, and in some programs a choice is available.

Plan I requires the completion, in good academic standing, of at least 24 semester hours of appropriate graduate work and 6 semester hours of thesis research, with the presentation of an acceptable thesis embodying the results of original research work.

Plan II may not require research and does not require a formal thesis, but a minimum of 30 semester hours of appropriate graduate work must be completed in good academic standing. Although thesis research is not required as part of a Plan II course of study, the student is often expected to gain insight into the techniques of problem posing and problem solving and to use these insights to prepare a written report. A plan of study/course curriculum outline is required for all Plan II master’s students when submitting the application for degree (before graduation).

Where both Plan I and Plan II are available within the same graduate program, an early and meaningful choice should be made by the student, in close consultation with the advisor. A change in choice of plans requires the approval of the program director and the Graduate School Dean.

Transfer of Credit

Previously earned graduate credit that has not been applied toward another degree (either at UAB or elsewhere) is eligible for transfer into the student’s current degree program. Ordinarily no more than 12 semester hours of transfer credit can be applied to a degree program. Acceptance of more than 12 hours will require approval by the program director, department chair, and Graduate School Dean. All credit transfer requests must be initiated by the student and require the approval of the graduate
program director and the Graduate School Dean. Transfer of Credit forms are available online at [http://www.uab.edu/graduate/online-forms](http://www.uab.edu/graduate/online-forms). An application for transfer of credit will not be considered until the student has completed at least 9 semester hours of graduate credit in their current UAB program and is in good academic standing. Once transfer credit has been accepted, it will be included in the calculation of the grade point average in the student’s current UAB program.

Graduate credit earned with a grade of B or above while a graduate student in another regionally accredited graduate school may be considered for transfer. In programs offered jointly by UAB and other universities, all graduate credits earned in the program at a cooperating university are eligible for transfer to UAB. If a student earns credit in one UAB graduate program and is later admitted to another program, unused credits from the previous program, if applicable, are eligible for consideration for transfer into the current program.

**Additional Program Requirements**

In consultation with the faculty, the director of each graduate program will specify any additional requirements, such as a reading knowledge of a foreign language or a working knowledge of statistics, which are considered essential to mastery of the academic discipline. Such requirements become conditions for the completion of the degree. The program may also adopt a system of examinations that the student must pass at various points in the program.

**Admission Into Degree Candidacy (Plan I Only)**

Admission to candidacy is a formal step recommended by the student’s graduate study committee and approved by the graduate program director and the Graduate School Dean, acknowledging that the student has been performing well and is likely to complete the degree. For Plan I students, admission should occur when the student has obtained an adequate background (although not all coursework needs to be complete) and has provided the committee with an acceptable proposal for thesis research. Students must be in good academic standing to be eligible for admission to candidacy, and admission must take place no later than one semester before the expected graduation. Before being admitted to candidacy, students must complete a Research Compliance Verification form and attach photocopies of the appropriate assurance letters and/or forms. Students must be admitted to candidacy before they can register for thesis research hours (i.e., 699). Forms are available online at [http://www.uab.edu/graduate/online-forms](http://www.uab.edu/graduate/online-forms).

**IRB and IACUC Approval**

If the research involves human or animal subjects, approval from the IRB or IACUC must be documented before admission to candidacy can be approved and IRB/IACUC approvals must be kept current until the research is completed. For ways in which students can be added to a protocol, refer to the Tip Sheet for Students Involved in Research Involving Human or Animal Subjects located on pages 54 and 55 of this Handbook. The IACUC form must display the appropriate research protocol number.

**Application for Degree**

Each candidate for a master’s degree must signify the intention to complete the requirements by a particular graduation date by submitting a completed Application for Degree Form. Because this form is used to document completion of requirements, order the diploma, and to include the student’s information in the commencement program, the form must be received in the Graduate School Office by the posted deadline. However, because each graduate program may have an earlier deadline, the student should check with his or her program office for those deadlines as well. A plan of study/course curriculum outline is required for all Plan II master’s students when submitting the application for degree (before graduation). See deadline dates, [http://www.uab.edu/graduate/deadline-dates](http://www.uab.edu/graduate/deadline-dates). Students must be registered during the semester in which degree requirements are completed. If degree candidates are covered by the student health insurance policy, hold an assistantship, or have student loans, it may be necessary to register for a prescribed minimum number of credit hours to retain these benefits. See the section of this Handbook on Course Enrollment (p. 6) and check with the appropriate office if retention of these benefits is a concern. Forms are available online at [http://www.uab.edu/graduate/online-forms](http://www.uab.edu/graduate/online-forms).

**Thesis**

The thesis required under Plan I should present the results of the candidate’s original research and the interpretation of those results. The document should also demonstrate the candidate’s acquaintance with the literature of the field and the proper selection and execution of research methodology.

Signatures of committee members and program directors on the approval form indicate their assurance that they have examined the document and have found that it is of professional quality from all standpoints, including writing quality, technical correctness, and professional competency, and that the document conforms to acceptable standards of scholarly presentation. The Graduate School is responsible for ensuring that the final version of the thesis meets the physical standards required of a permanent, published document and for adherence to the requirements stated in the UAB Format Manual (available online at

The final approved version of the thesis must be submitted as a single PDF for final review no later than 2 weeks (10 business days) following the public defense. Master’s students must submit the Approval Form, signed by each committee member and the program director. The UAB Publication Agreement form is submitted online. Additional information concerning completing the final steps of the publication process is available online at http://www.uab.edu/graduate/submitting-your-thesis-or-dissertation-to-the-graduate-school.

If in the opinion of more than one member of the thesis committee, the student has failed the thesis defense, there is no consensus to pass. The chair of the committee shall advise the student that the thesis fails to meet the requirements of the program. The chair shall notify the student in writing about the reason(s) for failure. If the student resubmits or submits a new thesis for consideration by his/her graduate program at least two members of the new examining committee shall be drawn from the original committee. If the modified or new thesis fails to meet the requirements of the program, the student shall be dismissed from the graduate program.

In the event that only one of the three committee members dissent, that individual must submit a letter in which he/she outlines the reasons for their dissent to the student’s advisor. The advisor and student may then prepare a rebuttal statement that is submitted, along with the letter of dissent, to the advisory or executive committee of the program for review. The advisory committee can then decide to accept or reject the rebuttal statement. If the rebuttal is accepted, the student is passed on his/her thesis defense. If the rebuttal is rejected, the advisory committee can recommend to the student or advisor potential steps necessary to remediate the thesis and potentially also the work therein, or the committee can recommend that the student be dismissed from the program.

Thesis Defense

Under Plan I, the final examination should take the form of a presentation and public defense of the thesis, followed by an examination of the candidate’s comprehensive knowledge of the field. The time, date, and location of this examination is reported to the Graduate School via the online Request for Thesis or Dissertation Approval forms (submitted at least 10 days before the public defense). The meeting must be appropriately announced on campus, must be open to all interested parties, and must take place before the posted semester Thesis or Dissertation defense deadline. Plan I candidates must be registered during the semester in which degree requirements are completed. If degree candidates are covered by the student health insurance policy, hold an assistantship, or have student loans, it may be necessary to maintain at least half time registration status of 5 credit hours to retain these benefits. Check with the appropriate office if this is a concern.

When Plan II is followed, the final examination should take the form of a comprehensive survey of the candidate’s activities in the graduate program. (A Plan II final examination is not required in some graduate programs.)

Recommendation for Degree

The candidate will be recommended for the master’s degree to the Graduate School Dean by the graduate study committee or by the student’s advisor and the graduate program director. This recommendation must be received by the published submission dates. Deadline dates are available at http://www.uab.edu/graduate/deadline-dates. The recommendation will be based on evaluation of all work performed, the final examination, and the thesis if Plan I was followed. The recommendation will automatically be nullified if (1) the remaining courses needed for the degree are not passed, (2) the candidate fails to maintain good academic standing, (3) the candidate fails to remove all temporary grades from his/her transcript, or (4) the Plan I candidate fails to complete the thesis.

Award of Degree

Upon approval by the Graduate School Dean and payment of any outstanding financial obligations to the university, the President confers students’ degrees by authority of the Board of Trustees.

Steps Toward Earning the Master’s Degree

- Admission to master’s degree program
- Selection of faculty advisor
- Maintenance of good standing
- Appointment of graduate study committee—Plan I (Thesis) only
- IRB and/or IACUC approvals obtained and renewed annually
- Admission to candidacy—at least one semester before graduation is expected—Plan I (Thesis) only
- Application for Degree—See http://www.uab.edu/graduate/deadline-dates for each semester’s deadline
- Production of preliminary version of thesis (Plan I only)
- Defense of thesis (for Plan I only) (see http://www.uab.edu/graduate/deadline-dates)
- One PDF of the defended committee-approved thesis (Plan I only) submitted online no later than 2 weeks (10 business days) after the published public defense deadline
- Recommendation for degree
- Conferring of degree
Requirements for the Doctoral Degree

General Statement

The doctoral degree is granted in recognition of (1) scholarly proficiency and (2) distinctive achievement in a specific field of an academic discipline. The first component is demonstrated by successful completion of advanced coursework (of both a didactic and an unstructured nature) and by adequate performance on the comprehensive examination. Traditionally, the student demonstrates the second component by independently performing original research. In certain doctoral programs, performing a major project may be acceptable even though it may not consist of traditional research. However, in all programs, with the exception of DPT and DNP, a dissertation presenting the results of the student’s independent study is required.

The Graduate School also recognizes professional doctorates awarded in preparation for the autonomous practice of a profession. Professional doctorates are accredited programs of study usually designed to prepare students for the delivery of clinical services or to assume specific types of administrative responsibilities. Students in professional doctorate programs must demonstrate competence in clinical practice and/or scholarship but are not required to conduct and defend original independent research. In lieu of a dissertation, students in programs designated as professional doctorate programs are required to demonstrate that they are capable of evaluating existing research, applying it to their professional practice, and expanding the body of knowledge on which their professional practice is based. This requirement is often met by the design and completion of a research or scholarly project submitted in writing and presented formally before the faculty in the program.

Faculty Advisor

Immediately after a degree-seeking student enters the UAB Graduate School, a member of the faculty of the graduate program to which the student has been admitted should be assigned to serve as the student’s advisor. This initial assignment may be a temporary arrangement. The student and the advisor should confer about the initial courses and any special work to be taken on the basis of the student’s previous experience and the requirements of the graduate program.

Graduate Study Committee

As soon as possible, a graduate study committee should be formed to guide the student in a program of courses, seminars, and independent study designed to meet the student’s needs and to satisfy program and Graduate School requirements. This committee should consist of at least five graduate faculty members, one or two of whom should be from outside the student’s graduate specialization and each of whom should be able to contribute some relevant insight and expertise to guide the student. In all cases, at least three of the committee must be comprised of UAB Graduate Faculty members. Committee members who are not already UAB Graduate Faculty, must be granted Ad Hoc Graduate Faculty status. Recommendations for graduate study committee composition are submitted by the advisor and the student to the program director, who subsequently submits these recommendations to the Graduate School Dean. Committee members must have credentials equal to or exceeding that of the degree that the student is pursuing and must have been approved by the Graduate School Dean for Graduate Faculty status. Graduate faculty appointments and instructions for requesting new appointments are available at http://www.uab.edu/graduate/gradfaclist. New Graduate Faculty appointments should be requested by the department and approved by the Graduate School Dean prior to any faculty member being recommended for placement on a student’s committee. Graduate Faculty status definitions are available at http://www.uab.edu/graduate/gradfaclist/definitions-of-graduate-faculty-categories. Changes to a student’s committee must also be submitted on the appropriate form located at http://www.uab.edu/graduate/online-forms.

Transfer of Credit

Previously earned graduate credit that has not been applied toward another degree (either at UAB or elsewhere) is eligible for transfer into the student’s current degree program. Ordinarily no more than 12 semester hours of transfer credit can be applied to a degree program. Acceptance of more than 12 hours will require approval by the program director, department chair, and Graduate School Dean. All credit transfer requests must be initiated by the student and require the approval of the graduate program director and the Graduate School Dean. Transfer of Credit forms are available online at http://www.uab.edu/graduate/online-forms. An application for transfer of credit will not be considered until the student has completed at least 9 semester hours of graduate credit in the current UAB program and is in good academic standing. Once transfer credit has been accepted, it will be included in the calculation of the grade point average in the student's current UAB program.

Graduate credit earned with a grade of B or above while a graduate student in another regionally accredited graduate school may be considered for transfer. In programs offered jointly by UAB and other universities, all graduate credits earned in the program at a cooperating university are eligible for transfer to UAB. If a student earns credit in one UAB graduate program and is later admitted to another...
Minimum Course Credit Requirements

The Graduate School has minimum course credit requirements for students in doctoral programs. Program requirements for course work may exceed the Graduate School minimums. Graduate School minimum requirements are as follows:

1. If entering with a baccalaureate degree:
   a. Completion of 48 credit hours of course work prior to candidacy
   b. Up to 16 credits of the 48 can be as non-dissertation research credits
   c. Up to 10 credits can be as lab rotation, seminar, or directed study credits
   d. Doctoral students must satisfy one of the following:
      • Must complete at least two semesters in candidacy and accumulate at least 24 semester credit hours in 799 dissertation research. OR
      • Must complete at least two semesters as a student in candidacy and have accumulated at least 12 semester credit hours in 799 dissertation research, AND, either during or before candidacy, 12 semester credit hours in other appropriate research-based coursework, which has been approved by the graduate student’s program. Courses which have been previously applied toward meeting the requirements of another degree are not eligible to satisfy the research credit requirement. The student’s graduate department/program should provide a course planning curriculum worksheet detailing the courses taken which are intended to be used toward meeting degree requirements along with the student’s application for degree.

Up to 12 credits of course work that have not been applied toward meeting the requirements for an earned degree taken at UAB or other institutions may be used to satisfy these course credit requirements upon approval of the graduate program director and the Graduate School Dean.

2. If entering with a previous Masters degree appropriate to the doctoral degree field (Also applies to previously earned M.S., D.V.M., D.M.D., D.D.S., etc.):
   a. Completion of 27 credit hours of course work prior to candidacy
   b. Up to 6 credits of the 27 can be as non-dissertation research credits
   c. Up to 6 credits can be as lab rotation, seminar, or directed study credits
   d. Doctoral students must satisfy one of the following:
      • Must complete at least two semesters in candidacy and accumulate at least 24 semester credit hours in 799 dissertation research. OR
      • Must complete at least two semesters as a student in candidacy and have accumulated at least 12 semester credit hours in 799 dissertation research, AND, either during or before candidacy, 12 semester credit hours in other appropriate research-based coursework, which has been approved by the graduate student’s program. Courses which have been previously applied toward meeting the requirements of another degree are not eligible to satisfy the research credit requirement. The student’s graduate department/program should provide a course planning curriculum worksheet detailing the courses taken which are intended to be used toward meeting degree requirements along with the student’s application for degree.

Residence Requirement

The usual minimal period in which the doctoral degree can be earned is three academic years of full-time study, or longer if the student has periods of part-time enrollment. The nature of doctoral study requires close contact between the student and the faculty of the graduate program, and the individual investigation or other special work leading to the dissertation must be performed directly under the guidance and supervision of a full member of the UAB graduate faculty. Therefore, doctoral students should be in residence (enrolled) for three full semesters each year, including summers, during a three year period or collectively a minimum of nine semesters if the student has to take a leave of absence or stop out during the course of their doctoral education.

Foreign Language or Other Special Tools of Research

In consultation with the faculty, the director of each graduate program will specify any additional requirements, such as a reading knowledge of a foreign language or a working knowledge of
statistics, that are considered essential to mastery of the academic discipline. Such requirements become conditions for the completion of the degree.

**Comprehensive Examination**

The scholarly proficiency of a doctoral student in the chosen field of study must be evaluated by comprehensive examination. The conduct of these examinations is the responsibility of the graduate program in which the student is enrolled and may consist of either individual examinations in several appropriate areas or a single combined examination. When both written and oral examinations are given, the written examination should precede the oral so that there is an opportunity for the student to clarify any misunderstanding of the written examination questions. Comprehensive exams should be administered no later than the end of the third year of the student’s program.

**Admission Into Degree Candidacy**

When the student has passed the comprehensive examination, satisfied any program requirements for foreign language proficiency or mastered special research tools, and presented to the graduate study committee an acceptable proposal for dissertation research or special study, the committee will recommend to the Graduate School Dean that the student be admitted to degree candidacy. A student must be in good academic standing to be admitted to candidacy. Admission to candidacy must take place at least two semesters before the expected completion of the doctoral program. Students must be admitted to candidacy before they can register for dissertation research hours (i.e., 799). The student must accumulate at least 24 semester credit hours in 799 dissertation research OR at least 12 semester credit hours in 799 dissertation research, AND, either during or before candidacy, 12 semester credit hours in other appropriate research-based coursework, which has been approved by the graduate student’s program.

Admission to candidacy is an important step forward in the student’s pursuit of the doctoral degree. By approving admission to candidacy, the graduate student’s committee indicates its confidence that the student is capable of completing the proposed research project and the doctoral program.

**IRB and IACUC Approval**

If the research involves human or animal subjects, approval from IRB or IACUC must be documented before admission to candidacy can be approved and IRB/IACUC approvals must be kept current until the research is completed. For ways in which students can be added to a protocol, refer to the Tip Sheet for Students Involved in Research Involving Human or Animal Subjects located on pages 54 and 55 of this Handbook. The IACUC form must display the appropriate research protocol number.

**Application for Degree**

Each candidate for a doctoral degree must signify his/her intention to complete the degree requirements to meet a particular graduation date by submitting a completed Application for Degree Form. Because this form is used to check requirements, order the diploma, and include the student’s information in the commencement program, it must be received in the Graduate School Office by the posted deadline. However, because each graduate program may have an earlier deadline, the student should check with his or her program office for those deadlines as well. The deadline dates can be accessed on the Graduate School website at [http://www.uab.edu/graduate/deadline-dates](http://www.uab.edu/graduate/deadline-dates). Students must be registered during the semester in which degree requirements are completed. If degree candidates are covered by the student health insurance policy, hold assistantships, or have student loans, it may be necessary to maintain at least half time registration status of 5 credit hours to retain these benefits. Forms are available online at [http://www.uab.edu/graduate/online-forms](http://www.uab.edu/graduate/online-forms).

**Dissertation**

The results of the candidate’s individual inquiry must be presented in a written dissertation comprising a genuine contribution to knowledge in the particular academic field. The document should also demonstrate the candidate’s acquaintance with the literature of the field and the proper selection and execution of research methodology.

Signatures of committee members and program directors on approval forms indicate their assurance that they have examined the document and have found that it is of professional quality from all standpoints, including writing quality, technical correctness, and professional competency, and that the document conforms to acceptable standards of scholarly presentation. The Graduate School is responsible for ensuring that the final version of the dissertation meets the physical standards required of a permanent, published document and for adherence to the requirements stated in the UAB Format Manual (available online at [http://www.uab.edu/graduate/images/acrobat/forms/theses/FormatManual.pdf](http://www.uab.edu/graduate/images/acrobat/forms/theses/FormatManual.pdf)).

**Dissertation Defense**

The dissertation defense should take the form of a presentation and defense of the dissertation work, which may include an examination of the candidate’s comprehensive knowledge of the field. The time, date, and location of this examination is reported to the Graduate School via the online Request for Thesis or Dissertation Approval forms (submitted at
least 10 days before the public defense). The meeting must be open to all interested parties, publicized on the UAB campus, and must take place before the posted semester thesis and dissertation defense deadline. Candidates must be registered during the semester in which the final examination is taken.

If in the opinion of one or two of the five members of the dissertation committee, the student has failed the dissertation defense, there is no consensus to pass. The chair of the committee shall advise the student that the dissertation fails to meet the requirements of the program. The chair shall notify the student in writing about the reasons for failure. If the student resubmits or submits a revised dissertation for consideration by his/her graduate program at least three members of the new examining committee shall be drawn from the original committee. If the revised dissertation fails to meet the requirements of the program, the student shall be dismissed from the graduate program.

In the event that only one of the five committee members dissent, that individual must submit a letter in which he/she outlines the reasons for their dissent to the student’s advisor. The advisor and student may then prepare a rebuttal statement that is submitted, along with the letter of dissent, to the advisory or executive committee of the program for review. The advisory committee can then decide to accept or reject the rebuttal statement. If the rebuttal is accepted, the student is passed on his/her dissertation defense. If the rebuttal is rejected, the advisory committee can recommend to the student or advisor potential steps necessary to remediate the dissertation and potentially also the work therein, or the committee can recommend that the student be dismissed from the program.

Submission of the Dissertation

No later than 2 weeks (10 business days) following the published deadline date for the public defense, the completed, final version of the committee-approved dissertation must be submitted (as a single PDF) for final review. Also submitted online are the UAB Publication Agreement, Survey of Earned Doctorates, and Graduate School Exit Survey. One copy of the signed approval form is submitted to the Graduate School office. Additional information concerning completing graduation requirements and the dissertation submission and publication process is available online at http://www.uab.edu/graduate/theses-and-dissertations-at-uab.

Graduate Student Exit Survey

Doctoral graduates are required to take the Graduate School Exit Survey as part of graduation requirements. Collecting important information and feedback from graduate students will help to improve the quality of graduate program offerings. After submission of the revised version of the student’s final dissertation, he/she will be contacted via email and provided the secure link to take the electronic survey.

Recommendation for Degree

The candidate will be recommended for the doctoral degree to the Graduate School Dean by the graduate study committee and the graduate program director. This recommendation, in the form of a signed approval form, must be received no later than the submission dates published on the Graduate School website. Candidates must be in good academic standing to graduate, with no temporary grades for courses required for the degree on their transcripts, or any outstanding balance on their student account.

Award of Degree

Upon approval by the Graduate School Dean and payment of any outstanding financial obligations to the university, the President confers students’ degrees by authority of the Board of Trustees. Doctoral students are generally expected to complete all degree requirements within 7 years of matriculation.

Steps Toward Earning the Doctoral Degree

- Admission to doctoral degree program
- Selection of faculty advisor
- Maintenance of good standing
- Appointment of graduate study committee
- Passing of comprehensive examination
- IRB and/or IACUC approvals obtained and renewed annually
- Admission to candidacy—no later than two semesters before expected graduation
- Application for degree—See http://www.uab.edu/graduate/deadline-dates for each semester’s deadline
- Draft of preliminary version of dissertation
- Review of the draft by committee members
- Revisions made to dissertation in response to committee feedback
- Defense of dissertation (see http://www.uab.edu/graduate/deadline-dates)
- A PDF of the defended committee-approved dissertation to UAB/ProQuest submission web site --no later than 2 weeks (10 business days) following the published deadline date for the public defense
- Recommendation for degree
- Conferring of the doctoral degree

Academic Ethics and Conduct

As a graduate student at UAB, you have joined a distinguished academic community that is guided by a conviction in the worth of knowledge and its pursuit. By virtue of your membership in this
community, you accrue many benefits—among them, access to the ideas and materials of others. Graduate students not only learn from others but also engage in the pursuit of new knowledge and, in some instances, teach or provide service to others. Being a member of an academic community and functioning in multiple roles in the community carries with it certain responsibilities. For this reason, we provide guidance here in the forms of both general standards of conduct and university policies.

As members of an academic community, students, faculty, and administrators share a responsibility to seek truths and communicate them to others. As we pursue knowledge and encourage learning, we acknowledge the need for a free exchange of ideas and recognize the importance of listening to and maintaining respect for the views of others. We must always aspire to learn, apply, and communicate to others the best scholarly standards of the disciplines in which we are involved. High scholarly standards demand high ethical standards.

We must commit to learning and communicating the best ethical standards and their application to our disciplines. In interactions with others, we must demonstrate respect for them as individuals, give credit for significant academic or scholarly assistance, and respect the confidential nature of some exchanges. We must adhere to the highest standards of academic conduct, avoiding those acts of misconduct and dishonesty that undermine the purposes of the academic community.

All UAB students are expected to be familiar with the UAB Academic Honor Code as well as any honor codes that are specific to their schools or disciplines. The code represents a commitment to integrity in the academic community and a respect for an individual’s educational endeavors:

*I have read and, by choosing to become a member of the UAB academic community, accept the UAB Honor Code. I understand that violation of this code will result in penalties as severe as expulsion from the university. I promise and confirm that I will not, at any time and under any circumstances, involve myself with abetting, cheating, plagiarism, fabrication, or misrepresentation while enrolled as a student at the University of Alabama at Birmingham.*

**Academic Integrity — Honor Code**

The University of Alabama at Birmingham expects all members of its academic community to function according to the highest ethical and professional standards. Students, faculty, and administration of the institution must be involved to ensure this quality of academic conduct.

Academic misconduct undermines the purpose of education. Such behavior is a serious violation of the trust that must exist among faculty and students for a university to nurture intellectual growth and development. Academic misconduct can generally be defined as all acts of dishonesty in an academic or related matter. Academic dishonesty includes, but is not limited to, the following categories of behavior:

**ABETTING**: helping another student commit an act of academic dishonesty. Allowing others to copy your quiz answers, or use your work as their own are examples of abetting.

**CHEATING**: use or attempted use of unauthorized materials, information, study aids, the answers of others, or computer-related information.

**PLAGIARISM**: claiming as your own the ideas, words, data, computer programs, creative compositions, artwork, etc., done by someone else. Examples include improper citation of referenced works, use of commercially available scholarly papers, failure to cite sources, and copying others’ ideas.

**FABRICATION**: presenting as genuine falsified data, citations, or quotations.

**MISREPRESENTATION**: falsification, alteration or misstatement of the contents of documents, academic work, or other materials related to academic matters, including representing work substantially done for one class as work done for another without receiving prior approval from the instructor. Misrepresentation also includes misrepresenting schedules, prerequisites, transcripts, or other academic records.

A student who commits an act of academic misconduct within the context of meeting course requirements will be given the grade of F in the course or on the assignment at the discretion of the department or program in which the misconduct occurred. Academic misconduct can occur in other contexts as well, such as when taking comprehensive examinations, performing research, preparing manuscripts or generally during the performance of other activities related to the process of satisfying degree requirements. Under Graduate School policy the program in which the student is enrolled may choose to expel the student from the university on the first offense. If, as determined by the records of the Graduate School or the department or program, the act of academic misconduct is a second offense, the student will be expelled from the university. The transcript of a student expelled for committing academic misconduct will bear the statement “Expelled for Academic Misconduct.” Withdrawal from a course while a possible violation of the Academic Honor Code is under review will not preclude the assignment of a course grade that appropriately reflects the student’s performance prior to withdrawal if the violation is substantiated.
Procedure for Reporting a Suspected Violation
When a faculty member or another student sees cause to charge a student with academic misconduct, within 7 days of noting the incident that individual will communicate the charge to the department chair or program director of the department or program in which the accused student is enrolled. The department chair or program director to whom the charge is presented will notify the student of the charge and provide the student with an opportunity to respond. If the student can respond in a way that, in the opinion of the program director and the department chair, either dispels the charge or provides the opportunity to resolve the issue informally, an informal resolution can be prescribed. If the student cannot refute the charge effectively, the department chair or program director will expeditiously notify the student of the administrative action to be taken. The notice shall also inform the student of the right to appeal and the steps involved in that process. Copies of any such communication will be provided to the academic dean of the school in which the student is enrolled.

If the school or department in which the student is enrolled has its own honor code, then the procedures of that honor code must be followed, including any prescribed appeals process. For dual degree students whose academic misconduct occurs in one of their two schools, the honor code of the school in which the infraction occurred should prevail.

However, if no local honor code exists, the following procedure must be followed.

Right to Appeal and Formation of an Honor Council
If a student is the subject of an administrative action as the result of an academic misconduct violation and wishes to contest that administrative action, he/she may appeal in writing to the dean of the school in which the student is enrolled. The dean will then convene an Honor Council consisting of five students and three faculty members from various departments within the school. All of the students chosen to serve must be in good academic standing.

The Honor Council shall elect a chairperson from among the eight members. The Chair may be either a student or faculty member. The duties of the Chair include convening the Honor Council, presiding over hearings and communicating with the administration of their school on behalf of the Honor Council. In all matters, the members of the Honor Council are instructed to treat the information put forward to them with the strictest confidence. Breaches of confidentiality are themselves violations of the Student Honor Code and will be treated as such.

Initial Procedures
After being informed of the charges and the failure to reach an informal resolution, the Academic Dean may also attempt to informally resolve the impasse between the student and the faculty member(s). In the event this attempt is unsuccessful, the Academic Dean shall refer the allegation(s) to the Honor Council. The Academic Dean will provide the Honor Council with a statement of the allegation(s) against the accused student, a description of the evidence and supporting documents (if available). The Honor Council shall convene to review the charge and all evidence supporting it. After review, the Council may either dismiss the allegation(s) on the grounds that insufficient substantiating evidence exists, or support the charges, also based on the evidence. The Honor Council shall provide notice of the specific charge or of the dismissal of the alleged violation to the accused student by certified mail, return receipt requested, or by hand delivery, to the Academic Dean. If substantiated, the statement of the charge shall include a brief summary of the alleged violation and the evidence presented in support of the charge, in enough detail as to allow the accused the opportunity to rebut the charge, and shall provide notification to the accused student of his/her right to a hearing. The accused student must respond to the charge within five days, unless excused by the Honor Council. In his/her written response to the Honor Council, the accused student must admit or deny the charge and must formally request or waive his/her right to a hearing before the Honor Council.

Once notice of the specific charge has been provided to the accused student and to the Academic Dean, the Honor Council shall decide on a time for the hearing and any preliminary deadline(s) for the submission of supporting documents and the names of proposed witnesses. Granting a request from the accused, or from the School, to reschedule the hearing is within the discretion of the Honor Council, but shall not be unreasonably denied. The Honor Council shall provide written notice to the accused student of the time and place for the hearing, and if witnesses are to be called in his/her defense, ask the student to provide their names along with a statement describing the testimony of each witness. The Honor Council shall review any documentary evidence provided by the student in advance of the hearing.

The Hearing
The process shall generally include the following: (1) call to order by the Chair; (2) introduction of those present; (3) statement of the Charge and possible penalties if the charge is proven; (4) statement of the evidence and testimony in support of the charge, and questioning of witnesses; (5) statement of evidence and testimony in opposition to the charge (rebuttal), and questioning of witnesses; (6) closing statement. All questioning of witnesses shall be by the Honor Council unless the Honor Council shall decide otherwise.

A hearing before the Honor Council shall not be
bound by formal rules of evidence or judicial rules of procedure. The Honor Council may hear any testimony or receive any supporting evidence that it deems to be pertinent to the charge. Both the accused and a representative of the School may be present throughout the hearing. The accused student shall be afforded a reasonable opportunity to be heard, to question witnesses indirectly through the Honor Council, to rebut adverse evidence, and to make a brief closing statement. Members of the Honor Council may ask any questions at any time during the hearing and may elect to disallow or to curtail testimony that the Honor Council determines to be unnecessarily redundant or not relevant to the issue(s) being heard. Throughout the hearing, all persons present shall conduct themselves in an orderly manner.

The accused may be accompanied at the hearing by an advisor of his/her choosing, however, the advisor may not participate in the hearing. The Honor Council shall be responsible for the conduct of the hearing at all times and shall keep a record of the proceedings in a format it chooses. Hearings before the Honor Council are confidential proceedings and only those persons determined by the Honor Council to have a need to be present shall be included. Except for the accused (and an advisor if invited by the accused) and the representative of the School, all other witnesses shall be excluded from the hearing room, except when testifying. No more than one witness shall be called to testify at a time. The School or the Honor Council may elect to invite UAB Security to be present at an Honor Council hearing.

As soon as practicable following the conclusion of the hearing, the Honor Council shall meet in private session to consider all of the evidence presented, and shall decide on one of two outcomes. The decision of the Honor Council shall be that the charge is either (1) proven by a preponderance of the evidence or (2) not proven by a preponderance of the evidence. A vote of six of the eight members shall be required for the charge against the accused to be proven. Following the vote, the Honor Council shall record the vote and shall provide a brief narrative statement explaining the rationale for their finding(s). The written decision and rationale of the Honor Council shall be transmitted to the Academic Dean, by internal communication, upon the conclusion of the Honor Council’s deliberations. The Honor Council shall notify the accused of the outcome by certified mail, return receipt requested, or by hand delivery. A decision of the Honor Council in favor of the accused student shall conclude the case.

Penalties for Violation of the Honor Code
Generally, a first violation of the Honor Code may also be made to indicate that a reduced or failing grade was assigned because of an Academic Misconduct violation (e.g., “F, Academic Misconduct violation, June 15, 2006”), on the judgment of the Honor Council. A second violation of the Honor Code shall result in expulsion from the University. No student may graduate until pending allegations of an Academic misconduct violation have been resolved. No student expelled from the Graduate School because of an academic misconduct violation shall be eligible for readmission.

If at the end of the appeals process performed at the school level, the accused student wishes to appeal to the Graduate School Appeals Board, he/she must follow the procedure outlined in this Handbook. Upon receipt of the appeal from the student, the Graduate Dean will request from the Academic Dean of the school in which the student is enrolled all appropriate documentation accumulated to that point. The Graduate Dean will then be responsible for maintaining records of all additional proceedings.

Nonacademic Conduct
The university is a community of scholars and learners; therefore, all participants are expected to maintain conduct that (1) facilitates the institution’s pursuit of its educational objectives, (2) exhibits a regard for the rights of other members of the academic community, and (3) contributes to the maintenance of a healthy learning environment. Through appropriate due process procedures, conduct action will be taken in response to behavior that violates these principles. The office of Non-Academic Student Conduct supports the mission of the university by protecting the rights of all members of the university community and by promoting civility, integrity, responsibility, openness, mutual respect and justice by enforcing community standards. A more detailed description of nonacademic misconduct can be found in the student handbook, Direction. It is the student’s responsibility to be fully aware of the policies and procedures described in Direction. The Office of Student Life and the Vice Provost for Student and Faculty Success have the responsibility for coordinating policies and procedures regarding students’ nonacademic misconduct.

Grievance Policy
Although rare, disagreements can arise that may affect a student’s progress towards the completion of the degree. The parties involved in such a dispute should make a good faith effort to discuss and resolve the disagreement. The following guidelines may be helpful.

Step 1. Identify the problem; clearly define what happened and what you perceive is needed to resolve the issue.
Step 2. Approach the other person or group involved with the dispute one-on-one. Set up a mutually agreeable time to talk; listen and ask to be listened to; use “I” statements when speaking; avoid assigning blame or leveling accusations.

Step 3. If these steps do not culminate in a resolution, the parties involved with the dispute should agree to approach an impartial third party, a mediator, who will respect confidentiality and with whom the situation can be discussed. The Program Director will suggest such a third party if asked. The mediator may be able to help the parties involved reach a resolution.

Step 4. If no resolution is found then you may submit the disagreement to the Graduate Program for arbitration. Please follow these procedures:

a. Each party in the dispute should submit a written description of the disagreement to the Program Director and the department Chair. Please include a description of the actions taken to resolve the dispute to date and the name of the mediator who was involved.

b. The Graduate Program Director will review the written documents. The Program Director, in consultation with the Program Advisory Committee, will make a determination as to whether or not the disagreement is Program-related and thus appropriate for arbitration at the Program level.

c. If the dispute is found to be Program-related, the Graduate Program Director, together with the Graduate Program Committee, will act as an arbitrator. If the dispute involves the Program Director, Associate Director or any member of the Program Committee, then that individual will be excused from the deliberations. The Committee may request additional information from the parties involved. The Program Director and the Admissions and Advisory Committee will meet to discuss the problem within 14 calendar days following receipt of the written document or following the receipt of any additional materials. In the event that a quorum of the Committee is not available within this time period, the Committee will meet as soon thereafter as a quorum can be gathered. The Committee may also ask the parties in the dispute to appear before the committee to provide additional information.

d. The result of the Committee’s deliberations will be communicated in writing to the parties involved in the dispute within seven (7) calendar days after the meeting.

Step 5. To department Chair for final review of arbitration before proceeding to Appeals Board.

If a party involved in the dispute is not satisfied with the outcome of the arbitration process, an appeal may be submitted to the Graduate School Appeals Board. Please see the Graduate Student Handbook, Graduate School Appeals Board for specific information about the appeals process.

**Graduate School Appeals Board (GSAB)**

A. Purpose:

The purpose of the GSAB is to review appeals brought by graduate students of decisions made by university representatives concerning

1. retention in graduate programs,
2. charges of academic misconduct or dishonesty,
3. selected other issues related to graduate education as deemed appropriate to forward to the GSAB by the Graduate Dean, the provost, or other university officials.

B. Limitations:

The GSAB will not review

1. appeals of course grades,
2. appeals of a dismissal based on lack of adequate progress toward meeting degree requirements,
3. appeals for which the student has not previously fully used all other applicable appeal or review processes,
4. appeals filed more than 30 calendar days from the date of a prior review or 30 calendar days from the date of receiving notification of an action or decision,
5. misconduct in research which falls under the Policy Concerning the Maintenance of High Ethical Standards in Research and Scholarly Activities,
6. grievances brought against the faculty of a specific program. Program faculty report to the chairpersons and deans in the schools in which they hold their primary appointments. Accordingly, it is the responsibility of those chairpersons and deans to adjudicate at the school level any appeals brought by graduate students against their faculty. Decisions made at the school level in such cases will not be reviewed by the Graduate School Appeals Board.
7. grievances or appeals brought forth by masters (Plan II) students in professional/practice-based programs. These will be adjudicated exclusively within the school in which the program is housed. Any questions related to whether a program is considered professional/practice-based should be referred to the program’s director.

C. Composition:

The GSAB will consist of five members of the graduate faculty and three graduate students in good standing, all broadly representative of the graduate
programs in the university. The GSAB will be chaired by a designee of the Graduate Dean. Members of the committee will be appointed on an ad hoc basis as needed by the Graduate Dean. The Graduate School will provide support personnel for the board to record proceedings of hearings.

D. Meetings:
The GSAB will meet as soon as possible after assembly by the Graduate Dean to adjudicate a pending appeal. A quorum for a meeting will be at least five persons: three graduate faculty members and at least two graduate student members. Any member of the GSAB may disqualify himself or herself. After notification of the Board composition, the student bringing the appeal may disqualify one faculty and one student member of the board. If the disqualification of board members results in absence of a quorum, the process will be suspended until the Graduate Dean can appoint additional members.

E. Notification:
The chair of the GSAB will notify the student bringing the appeal and the student’s program director of the decision reached by the GSAB in the initial review of the appeal—specifically, whether an appeal will be heard. If a hearing is to be held, the chair will notify the student and student’s program director of the date, time, and place for the hearing. The chair of the GSAB is responsible for notifying the Dean of the Graduate School of the findings and recommendations reached by the GSAB after the hearing. The Dean of the Graduate School will notify the student and student’s program director of his or her action.

F. Authority:
The GSAB may recommend affirming or reversing the decision being appealed and making such recommendations for further actions as seem appropriate. In the course of any hearing, the GSAB is authorized to request additional evidence from, or the appearance of, any student, faculty or staff member, or other employee of the university, or other individual as a witness. The GSAB shall have final authority in procedural matters. The GSAB will forward recommendations to the Dean of the Graduate School along with a record of the hearing proceedings. The Dean will make a final independent decision, taking into account the findings and recommendations of the GSAB and the records of the hearing. The Dean will inform the relevant parties and the GSAB of the decision in writing within 14 calendar days of receiving the GSAB recommendation.

Procedures
A. Filing an appeal:
Before a request for an appeal is accepted by the GSAB, the normal channels for resolving disputes must have been followed. First, the student should consult with his or her advisor to resolve the issue at that level. If the issue is not then resolved, the student should seek out the program director or department chair to request a resolution. If the program director and department chair have not been able to resolve the appeal or the action still needs to be pursued, it is then appropriate to pursue the issue with the academic college or school dean. At that point either the Honor Code of the school in which the student is enrolled should be invoked, or if no school based Honor Code exists, the Honor Council procedure described previously should be followed. If the concern has not been resolved to the satisfaction of the student at any one of these levels, an appeal to the GSAB may then be pursued.

All requests for appeals to be considered by the GSAB must be submitted to the Dean of the Graduate School, in writing, on the approved form (available in the Graduate School office and online) along with supporting documents and any other pertinent evidence. The written appeal must specify the grounds for the appeal. It is the responsibility of the student making the appeal to demonstrate to the GSAB that grounds for the appeal exist.

The Dean of the Graduate School will notify those individuals whose decisions are being appealed and will request relevant information. Information and evidence will be transmitted to The Graduate School Dean and to all members of the GSAB. Any additional evidence brought to the hearing is subject to acceptance or rejection by the GSAB. All information submitted becomes part of the permanent record of the GSAB hearing record maintained by the Graduate School.

B. Initial review of appeals:
The GSAB will be convened by the chair to conduct an initial review of the appeal to determine whether the appeal is subject to dismissal or if further action by the GSAB is warranted. Appeals that fail to set forth grounds for a full review by the GSAB shall be dismissed.

The GSAB will consider appeals when
1. all other levels of appeal have been exhausted.
2. the student can show grounds that he or she was previously denied a fair hearing.
3. the decision being appealed is not supported by substantial evidence.
4. the sanction being imposed is beyond the authority of the personnel involved.
5. the sanction or action is unduly severe or disproportionately harsh in comparison to similar cases.

When the GSAB determines that a graduate student should be afforded a hearing on an appeal, the chair of the GSAB shall give written notice to all parties involved in the appeal, allowing no less than one week of preparation time before the hearing.
C. **Hearings:**

All hearings by the GSAB shall be subject to the following requirements:

1. Any additional materials requested by the GSAB at the time of the initial review to be considered at the hearing shall be made available to all parties prior to the hearing.
2. Parties to the appeal have the right to be present and hear all arguments and oral statements made to the GSAB committee.
3. Parties to the appeal shall make arguments, present oral statements and written documents, and question witnesses with regard to any issues of fact relevant to the grounds for appeal.
4. Hearings shall not be adversarial in nature and shall be conducted in a manner conducive to ascertaining the facts of the case upon appeal.
5. The GSAB may establish time limitations for presentations before the board.
6. Hearings shall be closed to the public.
7. GSAB members may address questions to any person giving testimony before the board.
8. In hearings involving more than one student, a single hearing may be scheduled for each.
9. It shall be the responsibility of the GSAB chair, together with the recording secretary, to see that the integrity of the record is maintained.
10. The chair shall preside and rule on matters of procedure and evidence.
11. The chair shall have the right to dismiss anyone from the hearing should his or her conduct become disorderly.

D. **Findings, decisions and recommendations of the GSAB:**

Upon completion of hearings, the GSAB shall meet in closed session for deliberations. A simple majority vote of the GSAB is required to substantiate all findings and recommendations. In determining its findings and recommendations, the board shall concern itself only with whether reasonable people, acting on the available evidence, could have made the same decision or taken the same action as the one being appealed.

The GSAB shall prepare written findings addressing all issues presented in the appeal and shall make a recommendation that indicates whether the appealed decision or sanction should be affirmed, set aside, or modified. The GSAB may also make recommendations, if appropriate, for further actions by university authorities.

The Dean of the Graduate School has 14 calendar days to act upon the findings and recommendations of the GSAB. If no action is taken within the 14 days, except when extenuating circumstances justifying a delay are involved, the findings and recommendations of the GSAB will be final. Further appeal is not available within the university.

The application for a hearing before the GSAB is available in the Graduate School office, Lister Hill Library, Suite G03, and at the Graduate School’s Web site (http://www.uab.edu/graduate/images/acrobat/forms/acadappeal.pdf).

### Requirements for UAB Employees

**Policy 1: UAB Employees who enroll in a Ph.D. program**

*UAB employees who enroll in a Ph.D. program and continue to work full time:*

A. Cannot also be a full time student*
B. Cannot enroll for more than 18 credit hours per academic year (fall, spring and summer)*
C. Are not eligible to be supported on a training grant as they are not full time students
D. Cannot be simultaneously supported by a UAB Graduate Assistantship/Traineeship
E. Thesis or dissertation work may not be initiated until the student enrolls in a program (i.e. data generated by the employee/student prior to enrollment that has been submitted for publication or published cannot be included in a thesis or dissertation)
F. Must meet the same set of program requirements as all other students
G. The dissertation committee is responsible for assuring that these stipulations are met
H. The mentor/employer must acknowledge in writing his/her agreement for the employee to be a part time student while continuing to be a full time UAB employee. Written acknowledgments must be submitted to the program director and the Graduate School.*
I. The Program Director and dissertation committee must agree in writing to a protracted course of study*

*Stipulations A, B, H and I do not apply to employees of companies which support their employees as full time students in a UAB Ph.D. program.

**Policy 2: Compliance with institutional and Graduate School policies for student compensation**

*UAB employees who wish to become full time graduate students and continue to work part time cannot work more than 10 hours per week outside their commitment to meet the requirements of their predoctoral program.*

### Financial Information

**UAB Payment Policies**

Beginning fall 2011, standard tuition payment deadlines for all UAB graduate and undergraduate
students are as follows: 1) All UAB students will be required to have 50 percent of their account balance paid by the initial payment deadline, approximately 10 days prior to the start of the term; 2) The remaining account balance must be paid 30 days after the drop/add deadline.

For detailed information regarding tuition payments and deadlines, check the Student Billing and Payment Policy Web site at http://www.uab.edu/whentopay/policy. Student account payment deadlines are available on the Academic Calendar, https://www.uab.edu/students/academics/academic-calendar, for each term.

Internal Payment Options
There are multiple ways to pay tuition and fees. Payment by mail should be directed to UAB Student Accounting Services; LHL G10, 1720 2nd Ave. S., Birmingham, AL. 35294-0013. Questions for Student Accounting may be directed to (205) 934-3570. Payments may be made in person in the Lister Hill Library Ground Floor, 1700 University Boulevard, in LHL G10; Making payments via the Web is available through BlazerNET.

Amount Owed
An account balance summary is provided for each student under the Student tab on BlazerNET. Charges shown on that statement are based on the student’s status and courses as of the date of registration. School, classification, or course changes made after registration may result in additional charges. Credit for financial aid, external payment plans, UAB Educational Assistance benefits, or payments to be billed to a third-party vendor may not be reflected on the account summary. Fifty percent of the student’s account balance is due before classes begin. Failure to meet payment deadlines will result in the student’s being dropped from his/her courses for non-payment (see Academic Calendar located at https://www.uab.edu/students/academics/academic-calendar).

For information or clarification concerning the amount due, please call Student Accounting Services at 205-934-3570.

Delinquency Policy
If any student has an unpaid financial obligation to UAB, all grades will be withheld until payment is made in full, at which time withheld grades will be reinstated. A debt to UAB is, of course, legally enforceable. To be fair to the overwhelming majority of students who honor their commitment, UAB’s policy is to pursue unpaid student debts vigorously by all legal means.

Withdrawals and Refunds
If you withdraw from a course (using the appropriate procedures) prior to the close of business on the published date for Last Day to Drop Without Paying Tuition and Fees, you will owe no tuition for that course. However, if you are still registered for a course at the close of business on the Last Day to Drop/Add Without Paying Full Tuition and Fees, you must pay full tuition and fees for that course, even if you withdraw later. No refunds can be made unless a licensed physician certifies that a condition, which arose after the last day to withdraw during the Drop/Add period, was of sufficient duration and severity to make it impossible for you to continue in the course.

Students who wish to withdraw from courses for which they are registered must use the official procedures specified on BlazerNET. Mere failure to attend class does not constitute a drop or withdrawal. If the withdrawal request is received after the Last Day to Withdraw Without Paying Full Tuition and Fees during the Drop/Add period, full tuition and fees will be due for the courses from which the student withdraws. Withdrawal deadlines can be found on the Academic Calendar, https://www.uab.edu/students/academics/academic-calendar.

Academic Common Market
The Academic Common Market is an interstate agreement among selected states for sharing academic programs at both the baccalaureate and graduate levels. Participating states are able to make arrangements for their residents who qualify for admission to enroll in specific programs in other states on an in-state tuition basis.

Participating states are Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia.

If you are not an Alabama resident and you wish to enroll at UAB as an Academic Common Market student, you must be accepted for admission into a UAB program to which your state has obtained access for its residents through the Academic Common Market coordinator in your home state.

Certification of eligibility must be received by the Graduate School before the first day of class in the initial semester of registration to obtain in-state tuition status for the entire program.

To obtain the name and address of a state coordinator, visit the Academic Common Market Web site (http://www.sreb.org/page/1304/).

Financial Aid
Assistantships and Fellowships
In many programs, graduate student awards are available in limited number in the form of assistantships (service required) or fellowships (no service required). The Graduate School also assists
students in preparation of applications for extramural fellowships.

The university's Financial Aid Office administers traditional loan, grant, and work-study programs, and students in certain graduate programs may participate in UAB's Cooperative Education Program, combining their studies with paid work experiences. Only degree-seeking students who are registered at least part-time are eligible for financial aid.

For information concerning these programs, contact the Office of Student Financial Aid, LHL G20, Lister Hill Library, 1700 University Blvd, Birmingham, Alabama 35294-0013, 205-934-8223, finaid@uab.edu, https://www.uab.edu/students/paying-for-uab/.

Veterans

Enrolled veterans and dependents who are eligible for federal educational benefits through the Department of Veterans Affairs should apply online at the VA website, www.GIBILL.va.gov. UAB-VA is responsible for verifying your enrollment and semester hours and forwarding the information to the Regional VA office.

For more information about federal educational benefits, contact UAB-VA in the Office of Veteran Recruitment and Student Services, Smolian International House Rm 233, 1600 10th Ave. South, telephone 205-934-8804, email veteransaffairs@uab.edu

Facilities and Services

Lister Hill Library of the Health Sciences

The Lister Hill Library of the Health Sciences, established in 1945, is the largest biomedical library in Alabama and one of the leading such libraries in the South. It serves as a resource library in the National Network of Libraries of Medicine for the Southeast/Atlantic Region. Access to electronic resources is available across campus and remotely to authorized users. The library provides a variety of reference and educational services plus extensive educational opportunities through one-on-one instruction at point of need or in scheduled workshops on using library resources or searching for information. To contact the library for assistance, see http://www.uab.edu/lister/ask/.

Reynolds Historical Library

The Reynolds Historical Library, located on the 3rd floor of the Lister Hill Library of the Health Sciences, was a gift of Dr. Lawrence Reynolds, a distinguished radiologist and editor. The library contains rare books, pamphlets, and manuscripts in the history of medicine and health-related fields. This collection dates from the mid-14th century to the early 20th century and includes a core of world-renowned medical classics with important concentrations on medicine in the Civil War, the

South, and early Americana.

Mervyn H. Sterne Library

The Mervyn H. Sterne Library houses a collection of over one million items selected to support current teaching and research at UAB. In addition to books and more than 2,500 periodicals, the collection consists of microforms and other print and nonprint materials. Access to the collection and other information resources is provided through an online public access catalog system. Users may access the system from the library or remotely. Study areas and photocopying machines are located throughout the library, which is located at 917 13th Street South. The facility has seating space for about 1,100 students. More than 100 lockable study carrels are available for use by faculty and graduate students involved in writing projects.

Reference services are provided by subject specialist librarians and at information desks staffed to assist patrons in identifying and locating materials. Reference service also includes computerized database searching.

Student Health and Insurance Programs

Student Health Service

All undergraduate and graduate UAB students have access to UAB Student Health Services (SHS) Plan at no additional cost. This access is included as part of tuition and fees and replaces Tier I, Tier II, optional student, and Single Visit Option plans.

All students have access to the SHS regardless of insurance coverage. However, access to SHS does not replace the major medical insurance requirement (BC/BS, VIVA, etc.) for student groups defined below in the Mandatory Insurance/Waivers section. Health Insurance coverage is part of each program’s requirements and is necessary to help cover hospital and ER visits, specialty care, and lab/x-ray costs which are not included in the basic Student Health Services Plan.

Some students at UAB are required to have major medical insurance. More information about these students is available in the Mandatory Insurance/Waivers section.

More information regarding the Student Health Service can be found at http://www.uab.edu/studenthealth/health-plan-eligibility/student-health-plan.

Hospital and Major Medical Insurance Programs

Hospitalization and major medical insurance coverage is available at attractive rates to students enrolled in the Student Health Service. Spouses and children of eligible graduate students may also obtain coverage under this policy at a proportionate increase in premium. Students who are already covered by hospitalization insurance that offers coverage equivalent to that in the UAB student hospitalization policy may sign a waiver to this effect and not be
required to take the UAB policy. Failure to sign and file a waiver with the Student Health Service will result in automatic coverage with Student Health Service insurance, and the student will be billed.

**Health Forms and Insurance Information**

For all students who will be participating in the Student Health Service, the application for student insurance is located at [http://www.vivaemployer.com/Resources/Groups/UABStudents.aspx](http://www.vivaemployer.com/Resources/Groups/UABStudents.aspx). Depending on the academic program in which you are enrolled, you may be required to have major medical insurance. Generally all international students and all students in clinical programs--those programs which require that you work with human or primate tissues or patients--are required to have health insurance. Details about this mandatory health insurance, as well as the waiver process for students who already have acceptable insurance, are available here: [http://www.uab.edu/studenthealth/insurance-and-waivers](http://www.uab.edu/studenthealth/insurance-and-waivers).

For additional information on UAB’s Student Health Service and group hospital insurance plan, students should contact UAB Student Health Service, 1714 9th Ave. South, Birmingham, Alabama 35294-2041 (telephone 205-934-3581, [www.uab.edu/studenthealth](http://www.uab.edu/studenthealth)).

**Enrollment Services**

The following services are provided to assist students during their academic careers: TRIO Academic Services, Career and Professional Development Services, Disability Support Services, Veteran Recruitment and Student Services, Counseling and Wellness Services, and Women’s Counseling Center. Some of these services are available at [https://www.uab.edu/students/services](https://www.uab.edu/students/services).

If you are a first-generation college student, have a disability, or meet federal income requirements, you might be eligible for free support services and incentives created to help you achieve your goal of graduating in four years. UAB’s [TRIO Academic Services](https://www.uab.edu/students/services) (TAS) is a Student Support Services program that is a part of a network of TRIO programs fully funded by the U.S. Department of Education. The mission of TAS is to provide academic and personal support to help participants be successful in pursuing their educational goals at UAB. Contact 205-934-2729 or [TrioAcademicServ@uab.edu](mailto:TrioAcademicServ@uab.edu) for detailed information.

[UAB Career and Professional Development Services](http://www.uab.edu/careerservices/) engages students in the career development process of exploring career options, gaining experience in a chosen field, preparing for the job search, and succeeding in their career goals. More information is located at [http://www.uab.edu/careerservices/](http://www.uab.edu/careerservices/).

UAB is committed to making its academic programs and services accessible to students with disabilities. Qualified students with disabilities are protected from discrimination based on their disability, as guaranteed by the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973. Contact the [UAB Disability Support Services](mailto:dss@uab.edu) office at dss@uab.edu, (205) 934-4205 (Voice), or (205) 934-4248 (TDD) for details.

Enrolled veterans and dependents who are eligible for federal educational benefits through the Department of Veterans Affairs should apply online at the VA website, [www.GIBILL.va.gov](http://www.GIBILL.va.gov). UAB-VA is responsible for verifying your enrollment and semester hours and forwarding the information to the Regional VA office. For more information about federal educational benefits, contact UAB-VA in the Office of Veteran Recruitment and Student Services, Smolian International House Rm 233, 1600 10th Ave. South, telephone 205-934-8804, email [veteransaffairs@uab.edu](mailto:veteransaffairs@uab.edu).

The [Counseling & Wellness Center](http://www.uab.edu/students/services) offers no cost, confidential counseling related to personal growth, human development and interpersonal relationships. Services are available to all currently-enrolled UAB students. Programs and events held throughout the year are designed to provide opportunities to enhance wellness and demonstrate that healthy living can be both practical and enjoyable. For more information about the Counseling and Wellness Center, call 205-934-5816.

The [Women’s Counseling Center](http://www.uab.edu/students/services) at UAB provides confidential personal counseling services (non-academic) to UAB students. Our licensed professional counselor can assist you in dealing with issues such as eating disorders, relationship problems, rape, sexual abuse, sexual harassment, or managing your stress. The center can also provide you with information and resources regarding other services in the UAB community and Birmingham area. For more information about the Women’s Center, call 205-934-6946.

**Distressed Students**

College life, work and other outside influences can be stressful and overwhelming, which can impact a student in a variety of ways. If you are experiencing difficulties as a result of these sorts of stressful influences, please take advantage of one or more of the resources indicated by the links below:

- UAB Counseling & Wellness Center (934-5816)
- Women’s Counseling Center (934-6946)
- Crisis Center (323-7777)
- Rape Response (323-7273)
- Disability Support Services (934-4205)
- Safe Zone (975-8673)
- Student Health Services (934-3581)
- UAB Hospital ER (934-5100)
Crisis Services

The Office of Student Advocacy, Rights and Conduct is charged with helping students in distress who are facing any of a variety of potential crises. Whether a student is struggling with mental health issues, coping with a death in the family, or recovering from an assault, the office of Student Advocacy, Rights and Conduct can assist with referrals for treatment and working with teachers and other departments to ensure that things like grades or scholarships aren't compromised in the meantime.

Additionally, their office oversees non-academic conduct and judicial affairs and works to hold students accountable to their responsibility in the community.

While we can't pretend that bad things don't happen, we do at least strive to keep them from happening. Preventative education regarding alcohol, substance abuse, sexual violence, stalking, harassment, internet safety and more is also available through the Office of Student Advocacy, Rights and Conduct.

Contact the Office of Student Advocacy, Rights and Conduct:
Physical address:
1715 Building
1715 9th Ave. South
Phone: (205) 975-9509
Email: engagement@uab.edu
Graduate Student Case Management Specialist:
Shawra Rainer, 975-9509 or srainer@uab.edu
In addition to the UAB policies contained in this handbook, other university-wide policies apply to students. These include additional policies concerning health care for international students and visiting international scholars, AIDS and AIDS-related conditions, a drug-free workplace, alcoholic beverage use, smoking, electronic data processing security, and computer software use. Copies of these policies are available in the Graduate School office, and on the UAB Policies and Procedures Library Web site (http://sppublic.ad.uab.edu/policies/Pages/policylistname.aspx?pAN=A).

Graduate School Policy Concerning Student Participation in Proprietary Research

August 28, 2007

Faculty, staff, and students of a university create, disseminate, and apply knowledge for the benefit of society. When faculty of the university are involved in research, some of which may be of a proprietary nature, particular care must be taken to ensure that the need for graduate students to publicly present and publicly defend the results of their thesis or dissertation research is not compromised. Graduate student advisors, graduate program directors, and graduate students themselves, therefore, share in the responsibility to ensure that graduate students are well informed if they become involved in thesis or dissertation research that is, or has the potential to become, proprietary if participation in that research will delay completion of their degree requirements or negatively affect their productivity or future employability. Students must be made aware of the implications of performing thesis or dissertation work of a proprietary nature. For example, will that work delay time to degree, or will it have a potential negative effect on obtaining a postdoctoral position or an employment opportunity? In cases where the thesis or dissertation work has intellectual property implications, adherence to university policies on intellectual property is required.

It is the policy of the Graduate School that a faculty member or a graduate student should not enter into an agreement that prevents or significantly delays the presentation or publication of research results unless the delay is required for proprietary reasons. Students and their advisors can embargo the release of the contents of a thesis or dissertation by both the UAB library and ProQuest UMI for up to two years to provide time to resolve intellectual property considerations or prior publication issues. If, however, a decision is made to embargo a student’s thesis or dissertation, or delay publication of work described therein, these decisions should not delay the student’s time to completion of his/her degree requirements.

In instances where, despite good faith efforts on the part of the graduate student advisor, the graduate program director, and the graduate student, a dispute arises regarding the release or publication of a graduate student’s thesis or dissertation research, the Graduate School Dean must be notified. The Graduate School Dean will immediately convene a meeting of the graduate student, the graduate advisor, the involved graduate program director, and members of the student’s thesis or dissertation committee. This group, in consultation with the Vice President for Research and/or the Executive Director of the Research Foundation, will resolve the problem.

If the situation cannot be resolved through the efforts of this group, a ruling will be made by the Senior Vice President and Dean, School of Medicine; the Vice President for Research and Economic Development; or the Provost.

Authorship Policy

August 7, 2014

Background

Scholarly integrity and the responsible conduct and reporting of research and academic works are critical to research and academic progress, to maintaining public trust, and for the public to benefit from discovery. The University’s commitment in this regard is further supported by the UAB Enterprise Code of Conduct. Academic publications and presentations must be presented in sufficient detail and accuracy to enable others to understand and challenge the conclusions. For the authors of such work, successful publication improves opportunities for academic funding and promotion while enhancing scientific and scholarly achievement and repute. At the same time, the benefits of authorship are accompanied by a number of responsibilities for the proper planning, conducting, analysis, and reporting of research and the content and conclusions of other scholarly work.

This purpose of this policy is to describe the essential considerations and requirements in responsible authorship and publication and to protect the interests of UAB authors in the scientific and scholarly process. These standards were requested and developed by UAB authors for the benefit of UAB authors and are upheld by the entire UAB academic community.

Scope

This policy applies to publications by faculty, staff, fellows, residents, postdoctoral and graduate trainees, and students who are employed by or
affiliated with UAB and in which the authored work will identify UAB. For the purposes of this policy, these individuals will collectively be referred to as “author(s).”

This policy applies to knowledge disseminated through publications in scientific and scholarly journals, books, monographs, other manuscripts, abstracts and presentations, as well as information contained in grant applications, guidelines, and policy statements intended for the general public, whether in print or distributed in any media or electronic form, including the internet. The policy also applies to textbooks or other learning resources intended primarily for classroom use. This policy does not apply to publications in which UAB employees serve solely as editors.

**Policy Statement**

**Assignment and Responsibilities of Authorship**

Authorship should be carefully considered at the initiation of the work’s design and then continuously reviewed during its subsequent conduct and publication. Authors may be added or deleted based on changes in participation in ongoing work, but the general framework for making those decisions should precede the work’s initiation.

UAB expects each individual named as an author to have made a substantial contribution to the conception, conduct and/or design of the work, and/or the acquisition, analysis, or interpretation of data for the work. In general, those participants who meet such criteria should be included as authors. Those participants who do not meet such criteria may be appropriately included in an acknowledgement section of the manuscript. Individuals should be aware that some publisher’s standards or qualifications for authorship may be stricter than those set forth here.

Further, most authors are responsible for some subset of the original elements (e.g., data) that are the basis of a publication. In accordance with the UAB Records Retention Policy and Schedule, each author (and/or his/her institution) is required to retain the elements (e.g., original/raw data, analyses, and figures) for which he/she is principally responsible. Publications that are based on terabytes of data (i.e., “big data”) are typically retained at one site and may not belong to any of the authors. In these cases, a third party may be considered custodian of the records.

One author, usually the corresponding author, should be familiar with, and responsible for, the integrity of the entire work. If the work, or any part thereof, is found to be faulty or fraudulent, all co-authors may share responsibility. The corresponding author must ensure that all authors have:

1. Approved the final version to be published; and
2. Agreed to be accountable for appropriately addressing questions related to the accuracy or integrity of any part of the work.

**Acknowledgement**

Authors should acknowledge all assistance in the conduct of the work being reported, such as technical assistance and assistance of advisors, writers, statistical assessors, figure developers, etc. They should also acknowledge all support from core facilities, etc., and list grant numbers when appropriate. Individuals listed in the acknowledgments must agree to be so listed, preferably in writing.

**Prohibition against Ghostwriting**

While UAB understands that outside assistance may be required to complete a study or a publication, the practice of “ghostwriting” is strictly prohibited. Ghostwriting is defined as the practice in which the author(s) fail to name as an author of a publication (acknowledge therein) an individual or entity who has made a substantial contribution to the publication.

UAB strictly prohibits authors from engaging in the practice of ghostwriting in which manufacturers (or third party contractors on behalf of the manufacturer) or other entities pay authors to claim authorship of papers or other works which were entirely produced by the entity and for which the author did not have a significant role.

**Author Conflict of Interest**

All funding sources supporting the work and all institutional or corporate affiliations related to the publication must be disclosed by any author to the editors, publishers, or audience at time of any activity that is included in the definitions section above. This includes any potential conflict of interest, financial or otherwise (e.g., consultancies, stock ownership, equity interests, patent-licensing arrangements, lack of access to data (to the extent possible under the law and federal policies), lack of control of the decision to publish, or any other potential conflict) that relates to the research, whether the UAB Conflict of Interest Review Board (CIRB) has declared it so or not. The author’s disclosures are required to include any significant financial interests related to the work that were held during the collection of data for a publication or during the writing of the work. UAB supports full transparency and disclosure by all authors to one’s collaborators and co-authors. Authors who have commercial associations must assert that they accept full responsibility for the conduct of the trial/research/publication, had full access to all of the data (to the extent possible under the law and federal policies), and controlled the decisions on content and publication.
Authors should encourage the journal to publish all conflicts for the protection of all authors and the University.

In cases in which an author has a financial interest in textbooks or other learning materials that are required or recommended for use in UAB classes, that interest must be disclosed to potential purchasers. Authors should follow school or departmental textbook selection processes to ensure that the pedagogical benefit outweighs the potential conflict.

**Duplicate Publication, Plagiarism, Self-Plagiarism, Fabrication, Falsification**

Authors’ works should be original, and no part should have been published elsewhere (except as brief abstracts or in grant applications), unless the authors state in their submission that parts of the submission were previously published (as might be the case in review articles, textbooks, etc.). Taking material from another’s work and submitting it as one’s own is considered plagiarism and is subject to UAB’s **Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities.**

Taking material (e.g., tables, figures and data) from the author’s own prior publications may be considered duplicate publication or self-plagiarism, unless the duplication is clearly disclosed to the editor and the reader. In theses and dissertations, students often include their original publication(s) in whole or in part. This practice is acceptable under this policy, as long as the author discloses the prior publication(s).

Fabricating, falsifying (including the altering of figures in such a way as to obscure, move, remove, or introduce information or features), and suppressing data to agree with one’s conclusions are unacceptable practices. Such practices are considered misconduct and are subject to UAB’s **Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities.**

**Experiments Involving Animals or Humans**

Authors reporting data involving humans or animals must have had approval for the research from the UAB IACUC and/or IRB prior to the conduct of those experiments. If the work was conducted entirely at another institution, prior approval of that institution’s regulatory oversight board(s) is similarly required.

**Disputes**

In situations in which a dispute over the content or authorship of a publication occurs, and when the dispute cannot be resolved by the authors, the mediation of the Division Director, Department Chair, Dean, or Provost should be requested. Disputants should always request assistance first from the most direct supervisor unless that individual is perceived to have a conflict of interest in the dispute (e.g., the individual is also an author of the publication).

Authors occasionally receive inquiries from an editor, grants officer, or other party that relate to the validity of their published works (or grant applications and reports) or those being considered for publication. The University has resources to aid authors in appropriately responding to such queries if they potentially involve allegations of scientific misconduct (e.g., falsification or fabrication of data, plagiarism, etc.). If an author receives such an inquiry or possible allegation, the author should contact the University’s Research Integrity Officer at the Office of the Vice-President for Research and Economic Development and/or report the allegation to his/her immediate supervisor.

**Authorship Affiliation for External Activities**

In accordance with the **UAB Enterprise Conflict of Interest and Conflict of Commitment Policy,** UAB employees request advance approval of external activities with external entities as an independent contractor, advisor, employee, consultant, or other work-for-hire for direct compensation. If an individual authors or co-authors publications or reports emanating from such external activities, as a matter of transparency, his/her university affiliation should be disclosed. However, he/she must make clear to the journal and reader that the work was performed and the publication or report was produced in his/her capacity with the external entity. In accordance with the UAB Faculty Handbook, when participating in such activities, the individual should not allow the name of the University of Alabama at Birmingham to appear in any such manner as to indicate that UAB is participating in, or in any way is sponsoring, the activity or the project. Furthermore, any university support (e.g., staff support, etc.) provided to the individual while working in his/her capacity with the external entity must adhere to the **Policy Concerning the Use of UAB Resources.**

**Disciplinary Action**

Confirmed violations of this policy are also violations of the **UAB Enterprise Code of Conduct,** and as applicable the **Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities,** and will result in further action and/or consequences, as described by these policies.

**Implementation**

The Provost is responsible for procedures to implement this policy.

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**UAB Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities**

January 2, 2013
The previous version of this policy was adapted from a statement on "The Maintenance of High Ethical Standards in the Conduct of Research" (1982) published by the Executive Council of the Association of American Medical Colleges. The current version, while based on the 1997 version, has been modified to conform to the Public Health Service Policies on Research Misconduct: Final Rule, 42 CFR Parts 50 and 93, published May 17, 2005 in the Federal Register. This policy is broad in scope and addresses, as the title states, “ethical standards in research and other scholarly activities.”

**Introduction**

The maintenance of high ethical standards in research and scholarly activities is paramount to ensuring the success of UAB’s mission and demonstrates UAB’s values in action. Validity and accuracy in performing, recording, and reporting research and other scholarly activities are intrinsically essential to the process for discovery of new knowledge; dishonesty in these endeavors runs counter to the very nature of research and scholarly activities, that is, the pursuit of truth and public trust.

It is in the best interest of the public and of academic institutions to prevent misconduct in research and scholarly activities and to deal effectively and responsibly with instances in which misconduct is suspected. This policy supports these fundamental values and reinforces the expectations of UAB community members as expressed in the UAB Enterprise Code of Conduct.

**Definitions**

For purposes of this policy, the following definitions apply:

**Allegation** – A disclosure of possible Research Misconduct through any means of communication.

**Assessment** – A review to determine if the Allegation states a potential claim of Research Misconduct, as defined by this policy, and if the Allegation is sufficiently credible and specific to identify possible evidence of Research Misconduct.

**Fabrication** – Making up data or results and recording or reporting them.

**Falsification** – Manipulating Research materials, equipment, or processes, or changing or omitting data or results such that the Research is not accurately represented in the Research record.

**Inquiry** – A process conducted by a committee involving information gathering and initial fact finding to determine whether an Allegation of Research Misconduct requires further review and to determine the Respondent(s).

**Investigation** – A formal examination and evaluation of facts conducted by a committee for the purpose of determining if Research Misconduct has occurred and, if Misconduct is established, to identify the person(s) responsible.

**Plagiarism** – Appropriation of another person’s ideas, processes, results, or words, without giving appropriate credit.

**Reports** – Work product, including but not limited to, manuscripts submitted for publication, publications or presentations, abstracts submitted for presentations at meetings, summaries of Research or other deliverables to Research sponsors, and any internal Research summaries, publications or presentations.

**Research** – A systematic experiment, study, evaluation, demonstration, survey, or other scholarly work designed to develop or contribute to general knowledge or specific knowledge.

**Research Misconduct** – Fabrication, Falsification or Plagiarism in proposing, recording, performing or reviewing Research, or in reporting Research results.

**Respondent** – the individual against whom an Allegation of Research Misconduct is directed or who is the subject of a Research Misconduct proceeding.

**Policy Statement**

1. UAB shall accept as employees only those individuals whose career activities clearly demonstrate the highest ethical standards. To this end, the relevant credentials of all potential employees are to be thoroughly examined by the appropriate department/unit heads or their representatives in order to verify the claimed accomplishments of the candidate. The responsible department/unit heads or their representatives shall seek further confirmation of the candidate’s accomplishments during the normal procedures of personal interviews and letters from references. Proof of faculty credentials shall be maintained by the responsible dean or department head in accordance with appropriate records retention policies and schedules.

2. Faculty members and any individuals who supervise colleagues, fellows, technicians, staff, or students are expected to provide them with appropriate guidance and counsel to maintain the highest professional and ethical standards.

3. The UAB academic and research community is encouraged to promote individual awareness of the importance of maintaining high ethical standards in Research and scholarly activities and to discuss
issues related to Research ethics in formal courses, in seminars, and by other informal means.
4. Results of Research and scholarly activities should be supported by verifiable evidence. Faculty and staff should maintain sufficient records or other documentation of their studies for at least six years following the most recent use of such records or information contained in such records. It is the responsibility of senior investigators and scholars to develop among junior colleagues and trainees the necessary respect for careful recording and preservation of primary data.
5. The UAB research and academic community is encouraged to engage in free discussion of results, to share data and techniques, and to avoid secrecy in the conduct of scholarly activities, provided such free discussion and sharing are consistent with the proper protection of intellectual property. It should be remembered that independent confirmation of results is important in direct proportion to the potential significance of the results in question and may be crucial to the establishment of new concepts.
6. Faculty members are responsible for the quality of all Reports based on their own efforts or on the collaborative work of students, technicians, or colleagues, especially those which bear the faculty member's name. The same standards of scientific integrity apply to abstracts as to full-length publications. Abstracts or other Reports of preliminary findings should indicate clearly that the findings are preliminary. Any Report of Research results must include the name of at least one faculty member, employee, or trainee who assumes full professional and ethical responsibility for the contents of the Report. Each contributor to the Report must assume full responsibility for their own contributions to the Report. UAB supports the practice of explicitly describing the role(s) of each contributor in the conduct of the project and preparation of resulting Report(s).
7. Any faculty member, employee, or trainee who has reason to suspect any other faculty member, employee, or trainee of Research Misconduct with regard to the conduct or reporting of Research has the responsibility of following up these suspicions in accordance with the procedures outlined below.
8. Research Misconduct does not include honest error or honest differences of opinion. Intentionally withholding information relevant to the review of Research Misconduct, intentionally pressuring others to do so, or bringing malicious charges against another individual shall be considered a violation of this policy and the UAB Enterprise Code of Conduct. Additionally, any act of interference, retaliation or coercion by a UAB employee against a faculty member, employee, or trainee for using this policy is prohibited and is also a violation of this policy and the UAB Enterprise Code of Conduct.
9. A finding of Research Misconduct requires that: 1) there is a significant departure from accepted practices of the relevant Research or scholarly community; 2) the Research Misconduct is committed intentionally, or knowingly or recklessly; and 3) the alleged Research Misconduct is proven by a preponderance of the evidence. If the initial Inquiry or the subsequent Investigation indicates that the Allegations are unsubstantiated, UAB will make diligent efforts to restore the reputation of those accused at UAB with any involved funding agencies and elsewhere.
10. Allegations of this nature are very serious matters, and all parties involved should take measures to assure that the positions and reputations of all individuals named in such Allegations and all individuals who in good faith report apparent Research Misconduct are protected. Details of the charge, the name of the accused, the identity of the complainant, and all other information about the case shall be kept confidential as far as possible, compatible with investigating the case. Revealing confidential information to those not involved in the review shall itself be considered a violation of this policy and the UAB Enterprise Code of Conduct.
11. Because UAB is interested in protecting the health and safety of research subjects, students, staff, and faculty and because UAB is responsible for protecting sponsored research resources, if the situation warrants it, interim administrative action may be taken prior to conclusion of either the Inquiry or the Investigation to provide protection for individuals and resources in accordance with existing UAB policy. Such action includes, but is not limited to, administrative suspension; re-assignment of student(s); involvement of the Institutional Review Board, the Institutional Animal Care and Use Committee, the University Compliance Office, and the Office of Internal Audit-UAB; or notification of external sponsors when required by federal regulations.
12. In the event that a respondent is employed by UAB and another organization, UAB may share information with such employees of the other organization as it deems appropriate and employees from such organization may also participate in the process set forth in this Policy as UAB deems appropriate.

Procedures To Be Followed

Reporting Allegations of Research Misconduct

It is the responsibility of faculty, employees, and trainees who become aware of Research Misconduct to report such Research Misconduct to one of the following: (a) their department/unit head, (b) the dean of the school in which their department/unit is located, (c) the UAB Research Integrity Officer (RIO), or (d) the UAB Ethics Matters Hotline. In the case of graduate students or of trainees at any level, such evidence also may be reported to a faculty mentor or the Dean of the Graduate School. Those individuals receiving such Allegations or evidence of
Research Misconduct must immediately report to the UAB RIO. The RIO will report the Allegation to the Dean of the unit in which the alleged Research Misconduct occurred and to the Provost. In the event that there are Allegations against a Dean or other member of senior leadership, the RIO will consult with the Office of Counsel regarding the appropriate reporting line.

Assessment

In consultation with the Dean and the Provost, or other appropriate responsible official, the RIO will conduct or direct a preliminary Assessment of the information presented. The purpose of the preliminary Assessment is to determine if the Allegation states a potential claim of Research Misconduct, as defined by this policy, and if the Allegation is sufficiently credible and specific to identify possible evidence of Research Misconduct. If these criteria are met, the RIO will inform the appropriate department/unit head and the Office of Counsel and will initiate an Inquiry. Reporting Allegations to the department/unit head in advance of the preliminary Assessment will be at the discretion of the Dean.

Inquiry

1. If, as a result of the Assessment, an Inquiry is deemed necessary, the RIO will prepare a written summary of Allegations for the suspected individual (respondent), if named or known, which will be delivered in a manner sensitive to the confidentiality of the process. At the time the summary of the Allegations of Research Misconduct is delivered to the respondent, i.e., the accused party, records thought to be relevant to the Allegation(s) will be sequestered by the RIO or his/her designee. Such records will be inventoried and, thereafter, access to the originals or copies will be provided, to the respondent or his/her designee, as may be necessary. Original records will be retained by the RIO for the duration of the Inquiry/Investigation.

2. In consultation with the Dean(s), the RIO shall appoint a committee of faculty members to investigate the charges through an Inquiry process, including interviews with the individual making the Allegation (complainant, if known), the respondent (if one is known), and such other individuals deemed necessary to determine whether the Allegation warrants an Investigation. The RIO will appoint the committee chair. The Inquiry Committee will usually be comprised of at least three members with relevant expertise who, preferably, do not hold primary academic appointments in the department of the respondent. To ensure that necessary expertise is available to the Inquiry Committee, advice may be sought from appropriate individuals outside the Committee and University. The RIO shall consult with the Dean, the proposed members of the Committee, and the respondent in order to ensure that a real or apparent conflict of interest does not exist between the Committee members and the complainant, or the Committee members and the respondent. The decision of the RIO regarding an alleged conflict of interest shall be final.

3. UAB will endeavor to complete the Inquiry within 60 days of its initiation. If the Inquiry extends beyond 60 days, the reasons for the extension will be documented by the UAB RIO and will be retained with the record of the Inquiry.

4. The RIO shall keep the Dean or department/unit head and the Office of Counsel informed during the Inquiry process, and the Office of Counsel shall provide advice concerning procedural matters.

5. The written report of the Inquiry shall state what evidence was reviewed, shall summarize the relevant interviews, and shall include the conclusions of the Inquiry and the basis for its recommendation. The respondent(s) shall be given a copy of the Inquiry report and shall have up to 14 calendar days to make written comment regarding the report. This report, including a conclusion as to whether there is reasonable cause to believe that Research Misconduct has occurred, shall be forwarded to the Provost (with a copy to the UAB RIO) through the appropriate dean who should make whatever comment or recommendation is deemed warranted.

6. The Provost, with the advice and counsel of the RIO and others, as appropriate, shall decide whether to close the matter following the Inquiry or whether sufficient basis exists to proceed with an Investigation.

Investigation

1. The RIO, in consultation with the Provost and others, as necessary, will initiate a formal Investigation and appoint an Investigation Committee within 30 days of the completion of the Inquiry. The written report of the Inquiry will be made available to the Investigation Committee.

2. The RIO shall appoint a chair of the Committee. The Investigation Committee will usually be comprised of at least five members who, if possible, do not hold primary faculty appointments in the department of the respondent(s) and were not part of the Inquiry proceeding. The RIO shall consult with the Provost, the proposed members of the committee, and the respondent to ensure that a real or apparent conflict of interest does not exist between the Committee members and the complainant, or the Committee members and the respondent. The decision of the RIO regarding an alleged conflict of interest shall be final.

3. If applicable, upon initiation of an Investigation, the RIO will notify the appropriate oversight agency or body, for example, the Office of Research Integrity, in accordance with federal regulations and in consultation with the Provost. Appropriate funding agencies or journals shall be notified if it is ascertained during the Inquiry or Investigation that
the potential Research Misconduct constitutes an immediate health hazard or, if such notification is necessary to protect the interests of the persons making the Allegations, the individuals who are the subject of the Allegations, or any co-investigators and associates, or, if it is likely that the alleged incident is going to be publicly reported or if there is a likelihood that a criminal violation has occurred.

4. The chairperson shall conduct meetings of the Investigation Committee as frequently as required in order to determine whether or not the activities alleged in the charge constitute Research Misconduct, and, if so, to identify the individual(s) responsible. During the course of the Investigation, new charges and/or different respondents may be identified and the Investigation may be modified accordingly. If additional Research data are thought to be relevant to the Investigation, they may be sequestered and access to the originals or copies will be provided, as may be necessary.

5. The respondent(s) will be given a written summary of the charge(s) and access to supporting evidence, and will be afforded an opportunity to appear before the Committee to comment on Allegations. The respondent may be accompanied by an advisor of his or her choosing, but the advisor may not participate in the proceeding or address the Committee. The Committee will base its findings and conclusions on a preponderance of the evidence considered.

6. All meetings and deliberations of the Investigation Committee shall be held in confidence. The RIO and/or his or her designee(s) and a representative of the Office of Counsel may be present at meetings for technical assistance and to provide guidance and advice as to process. The Committee may call upon persons with technical expertise for assistance in the review of data or in the investigative process, as necessary. Technical expertise may be sought from within or outside the University, at the discretion of the Committee. If persons called to meet with the Committee are unable to meet face-to-face, interviews may occur by other means. Interviews of persons appearing before the committee in formal session, whether in person or remotely, will be recorded and transcribed. In some instances, one or more members of the Committee may be authorized to conduct an interview on behalf of the entire Committee.

7. The Committee will endeavor to complete its review and report for submission to the President within 120 days of being charged with its task. This time period includes 30 days for the respondent to provide a written response to the report (see below). In the event that a case takes longer to resolve, the RIO will request, if required, extensions from the appropriate oversight agency or body, for example the Office of Research Integrity for PHS-funded research.

8. A copy of the Committee’s report will be provided to the respondent, who will have up to 30 calendar days to provide a written response, if desired. Such response will be included as an appendix to the report submitted to the President. A respondent found by the Investigation Committee to have committed Research Misconduct will also have 30 calendar days to submit a written appeal of the findings and conclusion(s) of the Committee to the President. An individual found by the Investigation Committee to have committed Research Misconduct may or may not be the respondent identified in the original Allegation.

9. The President, based on the Investigation Committee's findings and responses to those findings, shall determine what actions are appropriate; such actions may include discharge from employment at UAB or, in the case of a student, expulsion from UAB. The President will notify the UAB RIO who in turn will work with the appropriate UAB offices to notify any sponsors supporting the Research in question and any journals or other publications which may have been affected by the publication of results of that Research. The President’s decision is final.

10. If applicable, the UAB RIO shall submit the report of the Investigation to the appropriate federal oversight agency, e.g., the federal Office of Research Integrity, and shall include in that report the policies and procedures under which the Investigation was conducted, how and from whom information was obtained relevant to the Investigation, the findings of the Investigation, and the basis of the findings. Also included will be a description of any sanctions taken by UAB and the actual text of, or an accurate summary of, the views of any individual(s) found to have committed Research Misconduct.

Copyright Policy

September 18, 2006

Purpose

The University of Alabama at Birmingham (the “University”) is dedicated to instruction, research and service to benefit society and encourages its faculty, staff and students to carry out scholarly endeavors in an open and free atmosphere, and to publish the results without restraint, consistent with applicable law and policy. The University is committed to complying with all applicable laws regarding copyright. The purpose of this policy is to clarify individual rights and institutional rights associated with ownership of copyrights and with the distribution of benefits that may derive from the creation of various types of intellectual property. This policy applies to creators of copyrightable works, whether such creators are University faculty, staff or students.
Information and Education

To carry out the purposes of this policy, the University shall:

- Provide the University community with information about copyright law, with emphasis on the application of fair use in academic setting, and such information shall be provided in accordance with the provisions of the Technology, Education and Copyright Harmonization (TEACH) Act and such other applicable laws and regulations.
- Provide web-based resources on copyright laws in general and on the application of fair use in specific situations.
- Make copyright and fair use informational resources available in the University’s libraries.

Ownership

Ownership of the various rights associated with copyright is dependent upon several factors, listed below. As a general rule, creator(s) retain all rights to copyrightable works, unless subject to the conditions discussed in this section.

A. Individual efforts: The copyrightable work produced by faculty, staff or students on their own initiative shall be the exclusive property of such individual(s) unless the work was specifically commissioned or assigned (refer to Section B), or unless the work was prepared under the terms of a contract or grant, or unless preparation involved substantial use of University resources. Except in the cases covered in paragraphs B through E below, the ownership of books, scholarly articles/monographs, trade publications, maps, charts, articles in popular magazines and newspapers, novels, nonfiction works, supporting materials, artistic works, syllabi, lecture notes, and like works will reside with the creator(s) and any revenue derived from their work will belong to the creator(s).

B. University assigned efforts: The copyright in a copyrightable work prepared by faculty, staff or students in the course of their regular employment duties or by special direction or commission shall be the property of the University. Such condition of employment or such directions shall be in writing and shall be agreed to in advance by both the University and the individual. A faculty member’s general obligation to produce scholarly and creative works does not constitute a University assignment in the context of this paragraph. Works created by students in the normal course of their coursework, such as a term paper, thesis/dissertation or similar scholarly work, does not constitute a University assignment in the context of this paragraph. A copyright agreement provided for the sharing of royalties, as discussed later in this policy, may, at the discretion of the University, be entered into by the University and the individual in regard to the work.

C. Sponsor supported efforts: Copyright ownership in copyrightable materials developed during work supported partially or in full by an outside sponsor, through a contract or grant with the University, is determined by the applicable provisions of such contract or grant. In the absence of any governing provision, the ownership of any copyright shall be determined in accordance with paragraphs A, B, D or E herein.

D. University-assisted individual efforts: A copyrightable work that is developed with substantial use of University resources and is not sponsor-supported shall be the property of the University. “Substantial use” of institutional resources may include the commitment of staff, faculty or material support in the creation of the copyrightable work, but does not include the ordinary use of the University’s libraries, faculty time, faculty offices, departmental office equipment, routine secretarial support or University owned personal computers. Should a question arise as to whether substantial use of University resources has occurred or may occur, a determination will be made by the Provost of his or her designee.

E. Distance Learning: With respect to distance learning materials, ownership of such materials shall be determined in accordance with the provisions of paragraphs A through D above.

F. Shop Rights: “Shop Rights” means a non-exclusive, non-transferable, royalty-free license to reproduce, distribute, publicly perform, publicly display, or make derivative works of the copyrighted work, for educational or research purposes only. Except for textbooks and articles published in scholarly journals, the University shall have shop rights to copyrighted materials developed by its faculty, staff and students, pursuant to paragraph A above, and faculty, staff and students of the University shall have shop rights to copyrighted materials owned by the University, pursuant to paragraphs B and E above; provided, however, that no faculty, staff or student shall use any shop rights hereunder in competition with the University while such individual is employed by the University.

Disclosure
Computer Software Copying and Use Policy

July 13, 1999

Introduction

Respect for the intellectual work of others is a tradition at UAB. UAB values the free exchange of ideas but not plagiarism or the unauthorized copying of computer software, including programs, applications, and data. Under federal copyright law, it is illegal to make a copy of computer software except for archival or back-up purposes without the permission of the copyright holder. Therefore, unauthorized copying of computer software or its documentation is illegal for substantial damages. The person responsible may be held liable.

All state and federal laws and UAB policies must be adhered to in the use of UAB’s computer equipment and systems. Any use of UAB equipment that violates copyright law or license contracts, that compromises or attempts to compromise the integrity of UAB-based or any other computers or computer systems, or that involves gambling or other illegal activity also is forbidden and may subject the computer user to criminal, civil, and/or UAB sanctions. Any use of UAB’s software, including shareware, must comply with all copyright laws and with the terms of the license granted by the software owner, including any prohibitions against simultaneous use on multiple computers.

Unauthorized use or copying of any software (whether or not owned by UAB) is not permitted on any UAB equipment.

This policy covers computer software which has been purchased by, acquired by, donated to, and/or licensed to, UAB and includes software that is bundled with, or preloaded on, computer systems purchased by UAB. It also includes software downloaded from networks (including the Internet), and in those instances it is important for UAB users and departments/units to ensure that any such commercial software or shareware may legally be downloaded, that the software is freeware, or that the software is in the public domain. UAB and individuals must comply with all terms and conditions of software downloaded from networks, including the Internet.

If computer software carries a UAB copyright, it may be used and distributed by UAB as long as such distribution is in keeping with the desires of the originating department/unit and is not in violation of the “Computer Software Policy.” If a UAB determination of interest in licensing the software is pending, the software would be considered non-UAB software for the purposes of this policy until such time that UAB determines its interest in licensing the software. This policy does not alter the categories of software and the rights pertaining thereto as indicated in the UAB “Computer Software Policy.”

Definitions

For purposes of this policy, the following definitions apply:

“Computer software” includes, but is not limited to, purchased or commercial software, sound, graphics, images, or datasets; shareware, freeware; and electronically stored documentation and the media that hold it. Not included in the definition as used in this policy are noncopyrighted computer data files that have no significance beyond the individual or department/unit.

“UAB software” is defined as computer software purchased or acquired by a UAB department or unit or by a UAB employee as part of his or her role at UAB. It includes software donated to UAB or software purchased by related foundations and donated for use by UAB. It includes computer programs written by UAB employees or students if creating such software is a UAB-associated effort.

“Non-UAB software” is defined as computer software purchased, acquired, or created by an individual(s) and not officially acquired by a UAB department or unit.

“UAB-associated efforts” (related to computer software development) is defined relative to the UAB “Computer Software Policy” as UAB-assisted efforts and UAB-assigned efforts.

Policy Statement

It is the policy of the University of Alabama at
Birmingham to comply with copyright law and license agreements entered into with vendors or authors of computer software. No illegally obtained or illegally copied (often referred to as “pirated”) computer software is allowed at UAB. UAB does not, and will not, condone illegal copying of computer software or the use of illegally copied or obtained computer software. Anyone connected with UAB who causes unauthorized computer software to be installed or loaded in connection with his or her role at UAB is in violation of this policy.

Whenever a staff member, faculty member, contractor of services to UAB, student, or visitor to the campus, in connection with his or her role at UAB, receives a copy of computer software from UAB, requests software to be loaded or installed on a UAB computer, or loads or installs computer software on a UAB computer, he or she must abide by the stipulations included in the license agreements associated with that computer software. It is the responsibility of anyone requesting installation of, or installing or loading, computer software onto a UAB computer to be familiar with the license agreements for that computer software, as documented by the vendor. Individual employees are accountable for software they load or install on UAB computers or which they supply for loading or installing on the department’s or unit’s computers or networks. They also are accountable for any existing software on UAB computers over which they have control.

The installation or use of non-UAB software on UAB computers is prohibited unless approved in writing by the department/unit head. The department/unit head may choose to give blanket permission to an individual on a per-machine basis. The non-UAB software should be free of viruses or other destructive mechanisms to the greatest extent possible and must be used for legitimate UAB purposes directly related to UAB’s instruction, research, and service activities.

Taking UAB-owned computer software home or elsewhere off campus to use on a non-UAB computer, even if the purpose is to perform UAB-related work, also is prohibited unless such use is authorized in writing and is permitted in the license agreement associated with the computer software. This constitutes theft of UAB property unless the software license specifically allows concurrent use and such use has been approved in writing by one’s supervisor or department/unit head. If the software license does not allow such use and a department/unit requests an employee to perform such work, the department/unit should purchase a separate copy of the software for installation on the employee’s computer.

A computer lab or a department/unit with publicly accessible computers which allows non-UAB software to be installed temporarily on the network or computers for purposes such as completing class assignments, printing documents, converting document formats, etc., must have documented procedures in place for removing any non-UAB software installed on the computers. This practice is not considered a violation of this policy as long as use of the non-UAB software on such UAB computers is directly related to UAB’s instruction, research, and services activities.

**Proof of Ownership of Software**

Computer software purchased by, and/or licensed to, UAB is an institutional resource and, therefore, should be safeguarded and accounted for in the same manner as other UAB resources. All commercial computer software license agreements, records of purchase, and original and back-up disks (or other software distribution media) must be kept by the department/unit in a safe place and must be made available for review or inspection. All license or use agreements for shareware or freeware computer software also must be available for inspection. Likewise, any written authorizations for the use of UAB-owned software on non-UAB computers must be available for inspection.

The following are examples of documents which can be used to show ownership or right to use software:

A. The dated purchase order, invoice, or sales receipt for purchased software or proof of a site-license agreement covering all copies in use or accessible by users in the department.

B. The original software distribution media.

C. The original documentation.

D. Vendor software that is bundled with, or preloaded on, computer systems purchased by UAB, an itemized listing of the software on the dated purchase order, invoice, or sales receipt for the computer.

E. For software downloaded from external networks or acquired from noncommercial sources, a statement indicating the nature of the software (for example, downloadable commercial software, shareware, freeware, or public domain), the use and registration requirements for the software, and proof of registration of the software, when applicable. Acquisition of software universally known to be available free to educational institutions and/or to the general public does not have to be documented. (Note: Examples of statements to document legality of downloaded software include, but are not limited to, receipts for payment of shareware registration, printed copies of e-mail messages if the user is required to e-mail the author, screen prints of the status of freeware or public domain software, etc.) It is recognized that the extent of documentation needed for freeware or public domain software will not be as extensive as for other types of software.

These proofs of purchase/ownership must cover all copies in use or accessible by users in the department.
Software License Registration

Registration with the author(s) or vendor(s) of computer software purchased by, or received from, UAB for installation on a UAB computer in connection with one’s role at UAB must include UAB or one’s department/unit as the licensee.

Applicability

This policy applies to all staff, faculty, students, contractors of services to UAB, and visitors.

Disciplinary Action

A violation of this policy by employees, including faculty, shall result in disciplinary action according to established UAB disciplinary procedures up to, and including, discharge for nonfaculty employees and termination for cause for faculty employees. A violation of this policy by a student constitutes nonacademic misconduct and the student will be subject to established disciplinary action.

Implementation

The Vice President for Information Technology is responsible for overall procedures to implement this policy. The Executive Director of the UAB University Hospital is responsible for specific procedures to cover implementation in Hospital departments/units.

Patent Policy

February 8, 2013

Purpose

In view of the far-reaching research on the various campuses of The Board of Trustees of The University of Alabama (hereinafter referred to as University), it is inevitable that new discoveries and inventions will be made. The members of the Board of Trustees (hereinafter referred to as the Board) recognize the importance of obtaining the greatest public benefit and usefulness from the products of the University’s scientific research and inventiveness, and that the protection and control provided under patent laws or other legal means for the protection of property rights may be necessary to obtain this goal. It is further recognized that employees of the University need assistance in determining and evaluating patentability and in prosecuting patent applications for or otherwise protecting inventions made by them. Furthermore, many such inventions involve equities beyond those of the inventor since the use of University facilities, the assignment of duties as a condition of employment, and the use of research funds with contractual obligations regarding patent rights give rise to questions concerning the rights and equities of all concerned. The purpose of this patent policy is to establish a mechanism to serve the public benefit and interest, to determine and apprise all concerned parties of relative rights and equities, to facilitate patent applications, the licensing of inventions, the equitable distribution of any royalties or other financial returns, to provide necessary uniformity in patent matters, and to provide for adequate reporting of patent activities.

Policy and Procedure

A. It shall be the policy of the Board to encourage the concept that patentable inventions produced at the University shall be used for the greatest possible public benefit and to provide every reasonable incentive to the faculty, students and staff for the disclosure, evaluation and dissemination of such inventions. When University support makes the research effort possible or when it provides support for the development of a patentable invention, it is reasonable for the University to participate in the fruits of such development, including reimbursement for its costs. To that end, the University encourages the procurement of patents for such inventions and the licensing or other commercialization thereof in the interest of the public, the inventor, and the University.

B. The President of each campus shall appoint an officer or Patent Committee or designate a non-profit organization established for the benefit of the campus to administer this policy. Each campus resident may promulgate additional regulations and guidelines pursuant to this Policy to administer this policy within his/her respective campus.

C. Any invention or discovery (1) which is the result of research carried on by or under the direction of an employee of a campus of the University and/or having the costs thereof paid from funds provided by, under the control of or administered by a campus of the University, or (2) which is made by an employee of a campus of the University and which relates to the employee's field of work, or (3) which has been developed in whole or in part by the utilization of resources or facilities belonging to a campus of the University, shall be the property of the applicable campus of the University. The applicability of the above stated criteria to any invention or discovery will be determined at the sole discretion of the President of the respective campus of the University or his/her designee.

D. As a condition of their employment or continued employment by or enrollment at a campus of the University, each faculty member, employee and student agrees that he/she is contractually bound by this patent policy as implemented by the respective campuses of the University and shall report to the officer or non-profit organization so designated by the President of the campus of the University to
manage and commercialize such inventions and discoveries with respect to that campus, any invention or discovery which such faculty member, employee or student has conceived, discovered, developed and/or reduced to practice by them or under their direction at any time following their initial appointment by, employment by, or enrollment with that campus of the University. All inventions and discoveries that meet the criteria of I.D. are hereby assigned to the University for the benefit of the appropriate campus of the University. Faculty members, employees and students do not have the authority to assign rights in such inventions and discoveries to third parties. The President of each campus of the University is authorized to further assign any invention or discovery it is deemed to own pursuant to this policy to a designated nonprofit organization established for the benefit of the respective campus of the University, which said assignment shall be conditioned on full compliance with this policy, regulations promulgated hereunder by the Board or by the President of the respective campus of the University, and appropriate state and federal law.

E. If the invention or discovery is one which is determined to be owned by a campus of the University, the President of the applicable campus or his/her designee shall further evaluate the invention or discovery and determine if and how best to develop, commercialize and protect the invention as he/she deems appropriate, including, but not limited to, applying for patent protection, or requesting further development of the invention or discovery. In making this determination, the benefits that might accrue to both the campus of the University and the inventor(s) shall be considered. The designee shall act promptly in carrying out these duties so that the rights of the inventor(s) and the campus of the University may be protected.

F. If it is determined that the invention or discovery is one which is owned by the University pursuant to this policy but is one in which a campus of the University has no interest in retaining ownership, a campus of the University (or the non-profit organization to which an invention may have been assigned in accordance with the terms of this policy) from such invention after a deduction of fifteen percent (15%) thereof for overhead costs, plus a deduction for costs of patenting and protection of intellectual property rights and any unusual expenses paid by the campus or its non-profit designee or the inventor (which have been approved by the campus or its non-profit designee). Each campus President shall be responsible for the development of a policy governing the percentage of royalties, fees, and other financial returns on an invention paid to the inventor and governing the internal distribution of the campus of the University’s share of such financial returns.

H. It is understood that many research contracts, grants, and consulting agreements from or with the United States Government or its agencies, corporations, or individuals contain ownership of intellectual property clauses that may be at variance with this policy but which, if agreed to, require compliance. Such documents which are at variance with this policy may be referred to the appropriate designated officer of the campus for recommendations prior to approval.

I. Annual reports of patent matters will be made to the Chancellor for his/her information and that of the Board within thirty days (30) following the end of each fiscal year, to include as a minimum identification of each patent and patent applied for, the distribution of patent revenue including the share going to the inventor, and the expenses of obtaining and managing patents. The Chancellor may prescribe appropriate formats for such reporting.

Employee Falsification of UAB Records and Documents

April 20, 1998

NOTE: Falsification of documents and records by a student who is not functioning in a UAB employee capacity is considered nonacademic misconduct and is handled in accordance with regulations covering nonacademic misconduct. See Direction Student Handbook.

Introduction

As a health-care, research, and educational institution, the University of Alabama at Birmingham is acutely interested in issues relating to the integrity of its employees.

For purposes of this policy, falsification of records exists when a UAB employee is discovered to have provided false information on the
employment application; to have failed to disclose requested information; knowingly to have falsified information; or knowingly to have recorded false information on any UAB document or record, regardless of format and including electronic communications. The following is a partial list of infractions which are specifically prohibited: falsifying information on an application for initial employment or for transfer; falsifying employee recruitment/credential records; falsifying employee expense account records or other reimbursement records; falsifying personnel/payroll documents (including, but not limited to, pay records, time sheets, or other types of time records); clocking the time card/time record of another employee or completing and submitting for approval the time sheet/time record of another employee; falsifying health records or vacation/sick leave records; falsifying research records, medical records, or departmental administrative records; and falsifying student records (including, but not limited to, admissions application materials, transcripts, grade sheets, registration documents, and student identification documents).

Policy Statement
Falsification of UAB records or documents is prohibited. Any knowing or negligent misrepresentation of a material fact or any failure to make a complete disclosure of any requested information are causes for immediate discharge without notice or pay in lieu of notice for nonfaculty employees or termination for cause for faculty employees. Any exception to the immediate and automatic discharge of nonfaculty employees for these reasons must be approved in writing by the Chief Human Resources Officer. Any exception to the recommendation of termination for cause for faculty these reasons must be approved in writing by the Provost and by the Chief Human Resources Officer.

Implementation
The Office of the Vice President for Financial Affairs and Administration is responsible for procedures to implement this policy as it relates to employee or departmental administrative records. The Office of the Provost is responsible for procedures to implement this policy as it relates to academic records, research records, or faculty recruitment/credential records.

UAB Student Records Policy
The University of Alabama at Birmingham student records policy complies with the Family Educational Rights and Privacy Act of 1974, as amended. All students enrolled or previously enrolled at UAB have certain rights with regard to information included in their education records. These rights are the subject of this policy.

I. General Policy
Information from records, files, or other data that is directly related to a student, other than public information, defined below, shall be disclosed to individuals or agencies outside the university only with the written consent of the student, unless a disclosure is made pursuant to one of the exceptions set forth in article IX, below.

II. Definitions
An education record is defined as any records, files, documents, and other materials that contain information directly related to a student and which are maintained by UAB or a party acting for UAB.

Not included in the definition of an education record, and not subject to FERPA, are:

- records of instructional, supervisory, and administrative personnel, which are in the sole possession of the maker and accessible only to the maker or a substitute;
- records of the University Police that are maintained separately from educational records, are maintained solely for purposes of law enforcement, and are not disclosed to individuals other than law enforcement personnel of the same jurisdiction;
- records that are made or maintained by physicians, psychiatrists, psychologists, or other recognized professionals or paraprofessionals, and which are made, maintained and used for the purpose of treatment of a student, and are available to another person only for the purpose of treatment of the student;
- records that contain information relating to a person after that person is no longer a student.

III. Definition of Student
A student is defined as any individual currently or previously enrolled in any academic offering of UAB. This definition does not include prospective students.

IV. The Education Record
The student education record includes directory and non-directory information. Both types reveal personal information about a student.

Directory information is information that may be disclosed by the university without prior consent of the student and which is considered part of the public record of the student's attendance. Although it is personal student information, information that is directory is regarded as the type of information that might be found in a directory or yearbook, the disclosure of which would not be considered an invasion of a student's privacy. Directory information includes a student's name, address (local and
permanent) telephone number, e-mail address (e.g., blazerID@uab.edu), date and place of birth, major field of study, participation in officially recognized activities and sports, dates of attendance, degrees and awards received, the name of the most recently attended institution, and a photograph of the student. Directory information will not be disclosed if a student elects to "opt out", by sending a written request for non-disclosure to the appropriate records official, prior to the end of the registration period.

Non-directory information is distinguishable from directory information in that it personally identifies the student but cannot be released by the university absent the consent of the student, legal process or an applicable FERPA exception permits the release. Non-directory information includes information that is not public in nature, such as grades, social security number, student number, and other information that would make the student personally identifiable.

V. Types and Location of Records All schools within the university maintain a file on each student enrolled, which may include applications, grade reports or other performance evaluations and correspondence. Some departments or programs maintain similar files. The counseling service, career services, and financial aid offices maintain a file on students who use those services. The university has designated the following officials as responsible for student records within their respective areas:

- University Registrar, 1605 Building; Director of Student Affairs, School of Dentistry, Room 207, School of Dentistry Building; Assistant Director/Registrar, School of Medicine, Room P100, Volker Hall; and Director of Student Affairs, School of Optometry, Room 104, School of Optometry Building. The persons who occupy these positions are designated as "records officials", each of whom is responsible for maintaining, for his/her area, a listing of student records and the location and general content of the records. Any student request concerning records or files, including requests that public information not be disclosed, requests for disclosure to third parties and requests for access by the student should be directed to this official. Forms for all such requests may be obtained from these officials. These persons will also act as hearing officers when the content of a record is challenged, as provided below.

VI. Student Review of Education Records Students shall have the right to review the contents of their education records, in the presence of a university staff member. To inspect his/her record, a student should go to the office of the appropriate records official to initiate a written request. If a student is unable to personally appear to inspect his/her record, a written, notarized request for inspection must be submitted to the records official. The time set for inspection shall be within 45 days of the date of the written request. If the records official concludes that inspection and review of the record can be accomplished only by providing a copy to the student, the record will be copied and provided to the student, upon receipt of the actual cost of copying the record.

The right of inspection does not include financial statements of parents, confidential recommendations placed in the file prior to January 1, 1975—provided such recommendations were solicited with a written assurance of confidentiality or sent or retained with a documented understanding of confidentiality and used only for the purpose intended—and other confidential recommendations, access to which has been waived by the student in accordance with paragraph VIII.

VII. Challenging the Contents of the Record UAB will respond to any reasonable request for an explanation or interpretation of an item in a student's education record. Requests for such explanation or interpretation should be addressed, in writing, to the appropriate records official. If, after inspecting a record, a student believes that information contained in the educational record is inaccurate or misleading or violates his or her privacy, the student may request that the record be amended by presenting a written request to the appropriate records official.

A request that the record be amended will be answered by the records official within 45 days of its receipt and will indicate whether the request for the amendment is granted or denied. If denied, the student has a right to a hearing on the matter. A written request for a hearing must be addressed to the appropriate records official, referenced in Section V. The records official will set a date and time for the hearing, within 30 days of having received the request, and will provide reasonable notice to the student.

The request for a hearing should identify the item or items in the file being challenged and state the grounds for the challenge, e.g., inaccuracy, misleading nature, inappropriateness. The records official will examine the contested item, hear the person responsible for placing the item in the file, if appropriate, and will examine any documents or hear any testimony the student wishes to present. A student may be assisted or represented by individuals of his or her choice, including an attorney, at his or her own expense. The records official may decide that the item should be retained or that it should be deleted or altered, and will issue a written decision, based solely on the evidence presented, within 10 days of the conclusion of the hearing. If the decision is adverse to the student, the notice of decision will include a statement that the student has the right to
place a statement in the record commenting on the information and/or setting forth reasons for disagreeing with the decision.

VIII. Waiver of Access UAB may request that a student waive his/her right to inspect and review confidential recommendations in the education record. Such recommendations may concern the student's application for admission, employment or honors. A student who elects to sign a waiver of access may, upon request, receive notice of the names of all those providing recommendations, that the recommendations are used only for the purpose solicited, and that the waiver is neither a condition of admission nor shall it affect the receipt of any other benefit. A waiver may be revoked, in writing, with respect to material sought subsequent to the revocation.

IX. Disclosure of Education Records to Third Parties The general policy of UAB is not to provide access to student education record information to third parties, absent the written consent of the student. Should a student wish to have his/her education record information released, a written request, signed and dated, must be directed to the proper records official, specifying the records to be released, the reason for release, and the party or class of parties to whom records are to be released. By written request, a student may obtain a copy of the records released.

The information transferred shall include a statement that the information may be used by the receiving party or, if an organization, by its officers, agents, and employees, only for the purpose(s) requested, and that the receiving party shall not transfer the information to any other party, except with the written consent of the student. A charge, not greater than the actual cost of reproduction, will be assessed against the student when copies are made for the party or for the student.

FERPA provides a number of exceptions to the rule requiring consent for the disclosure of personally identifiable information from student records. Disclosure of personally identifiable information from an education record may occur, without the written consent of the student, pursuant to the following exceptions (see FERPA Regulations, §99.31):

1. School officials with a legitimate educational interest. A "school official" may include:
   1. A person employed by UAB in an administrative, supervisory, academic, research or support staff position, including but not limited to law enforcement unit personnel, health staff and in-house attorneys;
   2. Contractors, consultants, volunteers or other outside parties with whom the UAB has contracted or delegated certain educationally-related functions to provide service under retainer or agreement, including but not limited to collection agency, outsourced service company, agent, attorney, auditor, etc.;
   3. A person serving on the Board of Trustees;
   4. A student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his/her tasks.

"Legitimate educational interest" is defined as any authorized interest or activity undertaken in the name of UAB for which access to an education record is necessary or appropriate to the proper performance of the undertaking. A school official has a legitimate educational interest if, in the judgment of the individual/office responsible for the requested information, the official needs to review an education record in order to fulfill his or her professional responsibility. The information sought and provided must be pertinent to and used within the context of official UAB business and not for a purpose extraneous to the official's area of responsibility.

Release of a student's education record to a school official having legitimate educational interest does not constitute institutional authorization to transmit, share, or disclose any or all of the information to a third party, whether within or outside the UAB.

2. Officials of other schools in which a student seeks to enroll. UAB will make a reasonable attempt to notify the student of the transfer, as well as the student's right to request a copy of the documents disclosed.

3. Authorized representatives of certain federal departments or agencies, and state and local educational authorities, as provided by law.

4. State and local officials to whom disclosure of information is allowed by state statute and concerns the juvenile justice system and the system's ability to effectively serve the student.

5. Financial aid officers or their staff in connection with the application for or receipt of financial aid, provided that personally identifiable information may only
be disclosed for the purpose of determining eligibility, amount, and conditions and to enforce terms and conditions.

6. Organizations conducting studies for administrative evaluation, tests, etc., provided that studies are not conducted in a manner that would permit personal identification of students or their parents by anyone other than representatives of the organization, and that the information will be destroyed when no longer needed for the purposes collected.

7. Accrediting organizations.

8. Parents of a student, as defined in §99.3, who is a dependent, as defined by §152 of the Internal Revenue Code of 1986.

9. Compliance with a judicial order or lawfully issued subpoena. The university will make a reasonable effort to provide notice to the student or parent, in advance of the release of educational information, unless the disclosure without notice is authorized by law. Notwithstanding the above, if a student or their parent initiates a legal claim or otherwise takes any adversarial position against the University, the University may disclose to the court or other entity that has authority to take specific action against the University, the student's education records that are necessary for the University to defend itself.

10. The disclosure is deemed appropriate in connection with a health or safety emergency to protect students or others. In determining appropriateness of disclosure, consideration will be given to the seriousness of the threat to health or safety of the student and others, the need for information to meet the emergency, whether the parties requesting information are in a position to deal with the emergency, and the extent to which time is of the essence.

11. The disclosure is directory information, as defined in this policy.

12. The disclosure is to the parent of one who is not an eligible student or to the student.

13. The disclosure is to the victim of an alleged perpetrator of a crime of violence or a non-forcible sex offense. Such disclosure shall be limited to the final disposition of the university's inquiry into the alleged act(s).

14. Disclosure of the result of a disciplinary proceeding provided the student is alleged to have been the perpetrator of a violent crime or a non-forcible sex offense and the alleged act is a violation of a university rule or policy. Such disclosure may not reveal the identity of other students without their written consent.

15. Disclosure to the parent of a student concerning the violation of any federal, state or local law, or any rule or policy of the university, governing the use of alcohol or a controlled substance, provided the university has determined the student committed the alleged act and the student is less than 21 years of age at the time the disclosure to the parent is made.

16. The disclosure concerns sex offenders and others required to register under §170101 of the Violent Crime Control and Law Enforcement Act of 1994, 42 U.S.C. §14071, and the information was provided to the university under §14071 and applicable Federal guidelines.

The University may include in the education record information concerning disciplinary action taken against a student for conduct that poses a significant threat to the safety or wellbeing of the student, other students and/or other members of the university community. This information may be disclosed to university officials and officials at other educational institutions who have a legitimate educational interest in the student's conduct.

UAB will keep a record, indicating the name and legitimate interest of all disclosures from a student's education record, except those made to the student, those made pursuant to written consent, those designated as public information, and those made to persons at UAB with a legitimate educational interest. This record of disclosure will become a part of the educational record, subject to inspection and review.

X. The UAB Student Records Policy shall be published in the online catalog of each school, and a copy shall be displayed prominently in UAB's web pages. In order to comply with the requirement that UAB give annual notice of this policy to enrolled students, a short notice of the policy shall be sent to students each year.

XI. Any student who believes that UAB has violated his or her right to access or privacy of educational records, as established by the Family Education Rights and Privacy Act of 1974, as amended, the accompanying regulations published at 45 Federal Register 30911, as amended at 45 Federal Register 86296, and this policy may contact the UAB Office of the Provost and/or may address a complaint to:

The Family Educational Rights and Privacy Act Office
Department of Education
400 Maryland Avenue, S.W.
Washington, D.C. 20202
UAB Residency Determination and Appeal Process

May 17, 2012

UAB students are governed by the Board of Trustees’ Non-Resident Tuition Policy, which addresses non-resident tuition, certification of residency status by campus officials, and establishment of campus procedures to administer an appeals process. The following guidelines implement certain provisions of the Board policy.

Implementation Guidelines

The Office of the Registrar, the Graduate School, and the admissions/registration offices of the professional schools, as appropriate, are designated as the offices empowered at UAB to determine and certify “resident” or “non-resident” student status. These offices are responsible for documenting each residency status evaluation and for maintaining the records used to substantiate that evaluation. As the provisions of Section II. 3 of the Board policy indicate, “though certification of an address and intent to remain in the state indefinitely are prerequisites to establishing status as a resident, ultimate determination of that status shall be made by the institution by its evaluation of the presence or absence of connections with the state of Alabama.” However, meeting the specific criteria included in Section II of the Board policy may not in all circumstances result in certification as a “resident student.” All facts and circumstances surrounding a person’s residency determination are considered, and no one fact is determinative.

Also, according to the provisions of the Board policy, UAB has been given the authority to expand, and has by separate Board resolution expanded, the definition of “resident student” to encompass all the categories in Sections III. A and III. B of the Board policy. In general, international students who have not been issued a U.S. resident alien card may not be considered for residency status for tuition purposes, unless they hold a graduate assistantship or fellowship and meet certain criteria. International students who have been issued a U.S. resident alien card will be considered for residency status for tuition purposes in the same manner as are U.S. citizens.

Initial residency determinations are made at the point of admission to UAB. This initial determination may be appealed in writing by the student to the appropriate residency officer by the posted deadline. Decisions made by the residency officer may be appealed in writing by the student to the University Registrar who may, at his or her discretion, convene a review committee composed of appropriate UAB officials. Students may appeal the Registrar’s decision to the Vice Provost for Administration and Quality Improvement.

Equal Opportunity and Discriminatory Harassment Policy

November 8, 2011

Policy Statement

The University of Alabama at Birmingham (UAB) hereby reaffirms its policy of equal opportunity in education and employment.

Equal Employment Opportunity

The University of Alabama at Birmingham is expressly committed to maintaining and promoting nondiscrimination in all aspects of recruitment and employment of individuals at all levels throughout UAB. In accordance with applicable law, UAB prohibits, and will not tolerate, discrimination in any personnel actions, UAB programs, and UAB facilities on the basis of race, color, religion, sex, national origin, disability unrelated to job performance, veteran status, or genetic or family medical history. In addition, UAB prohibits, and will not tolerate, discrimination against individuals on the basis of their sexual orientation, gender identity or gender expression. UAB also complies with the Age Discrimination in Employment Act which prohibits employment discrimination against persons 40 years of age or older. UAB will not tolerate any conduct by an administrator, supervisor, faculty, or staff member which constitutes any form of prohibited discrimination. All personnel actions, programs, and facilities are administered in accordance with UAB’s equal opportunity commitment and affirmative action plan.

UAB will state its position as an equal opportunity/affirmative action employer in all solicitations and advertisements for employment vacancies placed by, or on behalf of, UAB. UAB will broadly publish and circulate its policy of equal employment opportunity by including a statement in all media communication and printed matter for employment purposes. Further, UAB will consider, through appropriate established procedures, complaints of any individual who has reason to believe that he or she has been affected by prohibited discrimination. See also the “Complaints” section below.

Equal Education Opportunity

As an institution of higher education and in the spirit of its policies of equal employment opportunity, UAB hereby reaffirms its policy of equal educational opportunity. UAB prohibits, and will not tolerate, discrimination in admission, educational programs, and other student matters on
the basis of race, color, religion, sex, sexual orientation, gender identity, gender expression, age, national origin, disability unrelated to program performance, veteran status, or genetic or family medical history. Complaints by any applicant or student who has reason to think he or she has been affected by discrimination will be considered through appropriate established procedures. See also the "Complaints" section below.

This policy must be included in all student handbooks and catalogs. The following summary statement may be printed in other UAB publications:

The University of Alabama at Birmingham prohibits discrimination in admission, educational programs, and other student matters on the basis of race, color, religion, sex, sexual orientation, gender identity, gender expression, age, national origin, disability unrelated to program performance, veteran status or genetic or family medical history.

Discriminatory Harassment Policy

In keeping with its commitment to maintaining an environment that is free of unlawful discrimination and in keeping with its legal obligations, UAB prohibits unlawful harassment (and discouraging conduct that, while not unlawful, could reasonably be considered unwelcome). Discriminatory harassment of any kind is not appropriate at UAB, whether it is sexual harassment or harassment on the basis of race, color, religion, sex, sexual orientation, gender identity, gender expression, age, national origin, disability unrelated to program performance, veteran status, genetic or family medical history, or any factor that is a prohibited consideration under applicable law. At the same time, UAB recognizes the centrality of academic freedom and its determination to protect the full and frank discussion of ideas. Thus, discriminatory harassment does not refer to the use of materials about or discussion of race, color, religion, sex, sexual orientation, gender identity, gender expression, age, national origin, disability unrelated to program performance, veteran status, or genetic or family medical history for scholarly purposes appropriate to the academic context, such as class discussions, academic conferences, or meetings.

A. Definitions and Description of Prohibited Conduct

1. Sexual Harassment

Harassment on the basis of sex is a violation of Section 703 of Title VII of the Civil Rights Act of 1964 and Title IX of the Education Amendments of 1972. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment (or a student’s status)
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions (or academic decisions) affecting such individual or
- Such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance (or a student’s academic performance) or creating an intimidating, hostile, or offensive work (or academic) environment.

Under the law, sexual harassment does not refer to occasional compliments or conduct of a socially acceptable nature. Nor does it refer to the use of materials or discussion related to sex and/or gender for scholarly purposes appropriate to the academic context. It does refer to non-academic remarks or actions of a sexual nature that are not welcome and are likely to be viewed as personally offensive. This can include but is not limited to any of the following activities that are unwelcome by the recipient: physical or verbal advances; sexual flirtations; propositions; verbal abuse of a sexual nature; vulgar talk or jokes; degrading graphic materials or verbal comments of a sexual nature about an individual or his or her appearance; the display of sexually suggestive objects outside a scholarly context and purpose; and physical contact of a sexual or particularly personal nature. Cartoons, pictures, or other graphic materials that create a hostile or offensive working environment may also be considered as harassment. In addition, no one should imply or threaten that an employee’s, applicant’s, or student’s “cooperation” with unwelcome sexual advances or requests for sexual favors (or refusal thereof) will have any effect on the individual’s employment, assignment, compensation, advancement, career development, grades, or any other condition of employment or status as a student.

2. Discriminatory Harassment of a Non-Sexual Nature

The same principles related to sexual harassment also apply to harassment on the basis of any characteristic that is protected by law. Thus, UAB’s policy prohibits discriminatory harassment of a non-sexual nature, which includes verbal, physical, or graphic conduct that denigrates or shows hostility or aversion toward an individual or group on the basis of race, color, religion, sex, national origin, disability unrelated to job performance, veteran status, genetic or family medical history, or other status protected by applicable law and that

- Has the purpose or effect of creating an intimidating, hostile, or offensive environment; or
- Has the purpose or effect of unreasonably interfering with an individual’s work
allegation immediately to the Office of the Vice
threatened with retaliation, should report that
he or she has been retaliated against, or has been
harassment is pr
investigation of an allegation of discrimination or
faith, complains about or participates in an
B. may be sufficient for termination o
Discrimination.
incidents of harassment or
upon the sev
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exclusion from UAB.
prompt and appropriate disciplinary action, including
or students, is strictly prohibited and will bring
performance, veteran status, genetic or family
orientation, gender identity, gender expression, age,
national origin, disability unrelated to program
medical
history, or any factor protected by applicable
law.
3. Applicability of Policy
In determining whether the conduct at issue is
sufficient to constitute discriminatory harassment in
violation of this policy, the conduct will be analyzed
from the objective standpoint of a “reasonable
person” under similar circumstances. No violation of
the policy should be found if the challenged conduct
would not create a hostile environment (i.e.,
substantially affect the work environment of a
“reasonable person.”) See EEOC Policy Guidance
on Current Issues of Sexual Harassment at
www.eeoc.gov.
All harassing conduct prohibited by this policy,
whether committed by faculty, staff, administrators,
or students, is strictly prohibited and will bring
prompt and appropriate disciplinary action, including
possible termination of employment or permanent
exclusion from UAB. This policy shall apply to any
UAB-sponsored event or program, whether on or off
campus, or other situations in which an individual is
acting as a member of the UAB community.
The level of discipline imposed will depend
upon the severity and pervasiveness of the conduct,
which may be determined by the existence of prior
incidents of harassment or
discrimination. Depending upon the severity of the
offense, however, a single violation of this policy
may be sufficient for termination of employment or
expulsion from an academic program.

B. Prohibition Against Retaliati
Retaliation against an individual who, in good
faith, complains about or participates in an
investigation of an allegation of discrimination or
harassment is prohibited. Any individual who feels
he or she has been retaliated against, or has been
threatened with retaliation, should report that
allegation immediately to the Office of the Vice
President for Equity and Diversity or to the Office of
the Chief Human Resources Officer.

C. False Accusations.
Anyone who knowingly makes a false accusation
of discrimination, harassment, or retaliation will be
subject to appropriate sanctions. However, failure to
prove a claim of discrimination, harassment, or
retaliation does not, in and of itself, constitute proof
of a knowing false accusation.

Complaints
For purposes of this policy, a "complaint" is a
formal notification (usually in writing) of the belief
that prohibited discrimination has occurred. Prior to
filing a formal complaint, an individual is strongly
couraged to resolve a discrimination allegation
through an informal process.

UAB Staff, Faculty, and Students: The procedure
for resolving allegations when both the individual
making the complaint and the person against whom
the complaint is made are employed or enrolled at
UAB is described in the sections entitled "Informal
Resolution Procedure" and "Submitting a Formal
Complaint."

All Others: Situations that involve other
individuals (for example, visitors, patients, alumni or
former students, applicants for admission or
employment, or former employees) who believe they
have been discriminated against by someone either
employed by, or enrolled at, UAB are to be addressed
through the process entitled "Informal Resolution
Procedure".

Informal Resolution Procedure
(NOTE: Procedures similar to the following informal
process are also included in UAB’s "Problem
Resolution Procedure for Nonfaculty Employees" and
in the UAB Faculty Handbook and Policies.)

Although none of the actions set forth below is
required before an individual is eligible to file a
formal complaint, UAB encourages use of these
mechanisms for informal resolution of the
complaint. This list is not exhaustive. Actions taken
using any of these mechanisms do not necessarily
constitute a finding of discrimination.
1. One-on-one Meeting. The person making the
complaint is encouraged to meet with the person
whose behavior is considered discriminatory to
discuss the situation and to seek resolution.
2. Intervention by Supervisor, Manager, or
Department/Unit Head. The person making the
complaint is encouraged to contact his/her supervisor
to request assistance with resolving the allegation of
discrimination.
3. Facilitated Conversation. If one-on-one
meetings or intervention by departmental officials as
indicated above do not resolve the discrimination
allegation, the individual making the complaint may
contact the appropriate office to request the
assistance of a "facilitator." Facilitated conversations allow the parties involved to discuss the relevant issues in order to seek mutually agreeable solutions. Individuals may contact the following for assistance with any aspect of the Informal Resolution Procedure:

- **Employees** may contact their assigned HR Consultant or Employee Relations.
- **Faculty employees** may contact the Office of the Provost or Employee Relations.
- **Students** may contact the Office of the Vice Provost for Student and Faculty Success.

**Disability Support Services** is available for consultation in any instances involving disabilities.

The Office of the Vice President for Equity and Diversity is also available for consultation.

Should the above mechanisms fail to resolve the matter satisfactorily, a complaint may be filed by **Staff, Faculty and Students** through the formal complaint process.

**Potential Disciplinary Action**

A violation of this policy may result in disciplinary action up to and including discharge.

**Submitting a Formal Complaint**

Before filing a formal complaint of alleged discrimination, the relevant parties are encouraged to use one or more of the options outlined above for informal resolution of the allegation. If one chooses to proceed with a complaint, the complaint may be submitted in writing to one of the following, as appropriate:

- **Staff and Faculty**
  - HR Consultant/Employee Relations
  - Office of the Chief Human Resources Officer
  - Office of the Provost
  - Office of the Vice President for Equity and Diversity

- **Students**
  - Non-academic Conduct Officer
  - Disability Support Services (for disability discrimination)
  - Office of the Vice Provost for Student and Faculty Success

To the extent possible, all complaints will be handled confidentially and addressed in accordance with UAB policy. The complaints will be referred to the appropriate area for review and investigations will be conducted in a timely manner. In instances where staff, faculty and student issues overlap, the areas listed above will confer and/or work collaboratively to resolve the issue.

All individuals may use the procedures without penalty or fear of retaliation.

Also, any inquiries or complaints concerning the application of the Americans with Disabilities Act (ADA); Title VII of the Civil Rights Act of 1964; Executive Order 11246, as amended; Title IX of the Education Amendments of 1972; the Rehabilitation Act of 1973; or other legislation and its implementing regulations as they relate to the University of Alabama at Birmingham should be directed to one of the officials listed above.

**Overall Implementation**

The Office of the Vice President for Financial Affairs and Administration and the Office of the Provost are responsible for submitting revisions to be considered for this policy.

### Drug-Free Campus Policy for Students

December 14, 1991

**NOTE:** See also the following related policies: Drug-free Workplace Policy; Drug Screening Policy for Student Athletes; and the “Policy on Impairment and Chemical Substance Abuse” as published by the School of Medicine, School of Dentistry, and School of Nursing.

**NOTE:** See also the following related attachments:

- Drug-free Campus Policy - Attachment A, Federal Penalties and Sanctions for Illegal Possession of a Controlled Substance;
- Drug-free Campus Policy - Attachment B, Drug and Alcohol Use Health Risks;
- Drug-free Campus Policy - Attachment C, Drug and Alcohol Counseling, Treatment, and Rehabilitation Programs;
- Drug-free Campus/Workplace Policy - Attachment A.1, Federal Trafficking Penalties;
- Drug-free Campus/Workplace Policy - Attachment B.1, Alcohol -- Effects.

**Policy Statement**

This policy is applicable to all students enrolled in credit course(s) or degree-granting programs at the University of Alabama at Birmingham (UAB) and to all students receiving academic credit at UAB (other than for continuing education units) for study in a program in a foreign country conducted by UAB alone or in conjunction with a foreign university.

Unlawful possession, use, manufacture, distribution, or dispensing of illicit drugs, controlled
substances, or alcoholic beverages by any UAB student on UAB property or as part of any UAB-sponsored or UAB-sanctioned activity is prohibited. The legal possession, use, or distribution of alcoholic beverages on UAB property or at UAB-sponsored or UAB-sanctioned activities is governed by the UAB General Policy Regarding the Use and Consumption of Alcoholic Beverages and applicable local, state, and federal laws.

In certain situations, the university is required to report the activities prohibited by this policy to appropriate law enforcement authorities. In all cases, the University may report activities prohibited by this policy to appropriate law enforcement authorities if it appears that the activity is a violation of law.

Disciplinary Actions
Violations of this policy constitute nonacademic misconduct and will be subject to established disciplinary action for nonacademic misconduct in accordance with stipulations in the Direction Student Handbook or other applicable procedures. Violations of this policy by students should be reported to the appropriate student affairs office or other office handling student nonacademic misconduct in the same manner in which other instances of nonacademic misconduct are reported.

In some cases of violation of this policy for unlawful use, a student may be given, at the discretion of the University, the option to participate satisfactorily in an approved drug or alcohol abuse assistance or rehabilitation program in lieu of dismissal. Participation in such an assistance or rehabilitation program is at the expense of the student.

Drug-free Awareness Program
At least annually, UAB shall inform students of the dangers of drug and alcohol abuse on campus, of the existence of this policy statement and its penalties for violations, and of available drug and alcohol counseling, rehabilitation, and assistance through the following activities:

1. Publication, at least annually, of this policy in appropriate student publications and distribution to students in UAB’s foreign programs and to students in programs conducted in conjunction with foreign universities;
2. Inclusion of this policy in future editions of student class schedules and/or registration materials, student handbooks, and student catalogs;
3. Dissemination of this policy and of information at student orientation and assistance programs regarding the dangers of drug and alcohol use and abuse and available rehabilitation programs; and
4. Continuation, and expansion, of the UAB drug and alcohol awareness program which includes sponsorship of the “Alcohol/Drug Awareness Week” and publication of pamphlets and other materials.

Applicability to Other Policies
Other drug-free policies created to cover specific areas of the university may be more restrictive than this policy but not less restrictive. At a minimum, other such policies must include, or reference, the provisions of this policy. Violators will be subject to the provisions of the more stringent policy but will not be punished under more than one policy for the same offense.

This policy does not revoke or otherwise interfere with policies in the health professional schools designed to determine whether health care professionals are impaired and to offer rehabilitation, subject to the above provisions.

The wording in the "Non-academic Conduct" section of the Direction Student Handbook which relates to causes of dismissal due to the use, possession, etc. of illicit drugs, controlled substances, or alcoholic beverages references only certain provisions of this more extensive policy. The entire policy is applicable in all cases even if the policy itself is not printed in full.

Attachments
The “Applicable Legal Sanctions,” “Drug and Alcohol Use Health Risks,” and “Drug and Alcohol Counseling, Treatment, and Rehabilitation Programs” attached to this policy are a part of the policy but may be revised from time to time without affecting the policy itself.

Effective Date and Implementation
This policy is effective immediately upon its being signed by the President.

The offices of the appropriate Vice Presidents are responsible for the development and maintenance of procedures to implement this policy within their areas of responsibility.

In addition to being distributed to students on the UAB campus, this policy will be distributed to students in UAB’s foreign programs and to students in programs conducted in conjunction with foreign universities. The Vice President for Student Affairs is responsible for all distributions to students covered by this policy.

Attachment A
“Applicable Legal Sanctions”

Federal Penalties and Sanctions for Illegal Possession of a Controlled Substance
(55 Federal Register 33589)

21 U.S.C. 844(a)
First conviction: Up to 1 year imprisonment and fined at least $1,000 but not more than $100,000, or both.

After 1 prior drug conviction: At least 15 days in prison, not to exceed 2 years and fined at least $2,500
but not more than $250,000, or both.

After 2 or more prior drug convictions: At least 90 days in prison, not to exceed 3 years and fined at least $5,000 but not more than $250,000, or both.

Special sentencing provisions for possession of crack cocaine: Mandatory at least 5 years in prison, not to exceed 20 years and fined up to $250,000, or both, if:
(a) First conviction and the amount of crack possessed exceeds 5 grams.
(b) Second crack conviction and the amount of crack possessed exceeds 3 grams.
(c) Third or subsequent crack conviction and the amount of crack possessed exceeds 1 gram.

21 U.S.C. 853(a)(2) and 881(a)(7)
Forfeiture of personal and real property used to possess or to facilitate possession of a controlled substance if that offense is punishable by more than 1 year imprisonment. (See special sentencing provisions re: crack.)

21 U.S.C. 881(a)(4)
Forfeiture of vehicles, boats, aircraft, or any other conveyance used to transport or conceal a controlled substance.

21 U.S.C. 844a
Civil fine of up to $10,000 (pending adoption of final regulations).

21 U.S.C. 853a
Denial of Federal benefits, such as student loans, grants, contracts, and professional and commercial licenses, up to 1 year for first offense, up to 5 years for second and subsequent offenses.

18 U.S.C. 922(g)
Ineligible to receive or purchase a firearm.

Miscellaneous
Revocation of certain Federal licenses and benefits, e.g., pilot licenses, public housing tenancy, etc., are vested within the authorities of individual Federal agencies.

Note: See Attachment A.1 for additional Federal drug trafficking penalties and information.

Note: These are only Federal penalties and sanctions. Additional State penalties and sanctions may apply.

Summary of State Penalties and Sanctions
Under Alabama law, the possession, purchase, or consumption of alcoholic beverages by a person under 21 years of age is punishable by a fine of up to $500 and by up to three months in jail. Also under Alabama law, for a first offense, unlawful possession of a controlled substance (that is, illegal drugs) may be punished by imprisonment up to 10 years and a $5,000 fine and unlawful distribution of controlled substances may be punished by imprisonment up to 20 years and a $10,000 fine. Subsequent offenses may carry more stringent sentences.

Drug-Free Schools and Communities Act
Illegal drug and alcohol use, consumption, distribution, etc. on college and university campuses also are covered by the provisions of the United States Drug-Free Schools and Communities Act Amendment of 1989 (Public Law 101-226).

Legal Sanctions in Foreign Countries
Students in a program in a foreign country conducted by UAB or in conjunction with a foreign university also may be subject to sanctions under foreign law or under the Uniform Code of Military Justice. Although the legal sanctions described in this policy under United States law may not apply to students in a foreign country, UAB will nevertheless hold such students to the same standards as students within the United States and will take the disciplinary actions described in this policy for violations of these standards.

Attachment B
“Drug and Alcohol Use Health Risks”
General
Although there has been recent change in American health habits and societal attitudes toward recreational drug and alcohol use, problems continue to exist and experimentation is starting at an earlier age. An important piece of information to surface in recent years is that even moderate, nonprescribed use of alcohol and nonprescribed use of drugs can have an adverse effect on overall health and well-being.

Consider the following facts:
1. Drinking more than one or two alcoholic beverages a week promotes more visible signs of aging.
2. Consuming one and one-half or more alcoholic beverages per day increases the risk of breast cancer.
3. Drinking alcoholic beverages poisons the heart muscle, counteracts the benefits of exercise, increases male impotence, and depresses the body’s immune system.
4. Tobacco use is a contributing factor in the development of chronic bronchitis, emphysema, circulatory problems, and coronary disease, as well as being the leading cause of lung cancer.
5. Cocaine use is responsible for kidney damage, stroke, lung and heart diseases, seizures, and intense psychological problems.
6. Many forms of narcotics are highly addictive to users.
7. Marijuana use creates certain dysfunction related to thinking, learning, and recall; aggravates asthma, bronchitis, and emphysema; contributes to fertility problems, and contributes to the development
of lung cancer.

8. The nonprescribed use of tranquilizers, barbiturates, and amphetamines is dangerous and may cause major health problems, including death.

9. Extended drug and/or alcohol use may result in substance dependency and loss of control of an individual’s life.

Source: Drug data compiled by UAB Substance Abuse Program from the following resources:

**Drug Data: What Everyone Needs to Know about Mood-altering Drugs, Comp Care Publications, Minneapolis.**

**You Are What You Drink, Allan Luks and Joseph Barbato, Villard Books, New York.**

**You Can Stop, Jacquelyn Rogers, Simon & Schuster, New York.**

**Attachment B.1**

**Alcohol—Effects (55 Federal Register 33591)**

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a care safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person’s ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and the liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

**Attachment B.2**

**Uses and Effects of Controlled Substances**

See Attachment B.2 for additional information concerning health risks involved in drug use.

**Attachment C**

“Drug and Alcohol Counseling, Treatment, and Rehabilitation Programs”

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**Student Services**

The Campus Assistance Program is designed to address the following issues: continued longitudinal needs assessments, campus community awareness, enlistment of support from all campus segments, identification of high-risk students, early intervention, development of peer counseling and support groups, and referral to on/off campus resources and treatment facilities when indicated. The following are on-campus programs available to students:

- **Campus Assistance Program**
  - Counseling and Wellness Center
  - 924 19th Street South
  - Birmingham, AL 35294-2100
  - 934-5816

- **UAB Mental Health Services**
  - Center for Psychiatric Medicine
  - 1713 Sixth Avenue, South
  - Birmingham, Alabama 35294-0018
  - ACCESS line 934-7008

- **UAB Substance Abuse Program**
  - 401 Beacon Parkway West
  - Birmingham, Alabama 35209
  - 917-3733

Other non-UAB, off-campus services are available in the Birmingham area and in many of the foreign countries in which UAB conducts programs of study. Such counseling, treatment, and rehabilitation services are too numerous to list here, but anyone needing assistance with locating such off-campus or foreign country services may contact one of the programs listed above or the UAB Center for International Programs, as appropriate.

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**Immunization Policy**

December 7, 2011

**Introduction**

To provide a safe and healthy environment for all students, faculty, and staff at the University of Alabama at Birmingham (UAB), and in accordance with the recommendations of the Alabama Department of Public Health (ADPH) and American College Health Association (ACHA), UAB requires immunizations as set forth in this policy.

**First-time Entering UAB Students**

All first-time entering students who enroll at UAB must show proof of specified immunizations as outlined by the UAB Student Health Service on their website: [http://www.uab.edu/studentimmunizations](http://www.uab.edu/studentimmunizations). Enrolling students must show proof of the required...
immunizations with either an official certificate of immunization, a photocopy of an immunization certificate, or written documentation from their physician.

**International Students and International Scholars**

Because of the disparity of immunization requirements among many foreign countries, all UAB international students and international scholars are required to be immunized as outlined by the UAB Student Health Service on their website (http://www.uab.edu/studentimmunizations). In lieu of being re-immunized, such individuals may present proof of having had the required immunizations. If they do not have such proof or have not been immunized, they must be immunized against the specified diseases prior to attending, enrolling, or participating in UAB academic, research, observing, or clinical programs and activities.

Furthermore, all international students and international scholars must show proof of a non-reactive Tuberculin skin test or negative blood test or appropriate treatment if positive within three months prior to enrollment or visiting. Details of this requirement are provided by the UAB Student Health Service on their website (http://www.uab.edu/studentimmunizations).

**Students Enrolled in Health-related Schools**

Because of the nature of their work, students engaged in health professional training programs could have a higher risk of contracting certain diseases. Therefore, all UAB students in the Joint Health Sciences programs and in the Schools of Medicine, Dentistry, Optometry, Public Health, Nursing, and Health Professions are required to be immunized as outlined by the UAB Student Health Service on their website (http://www.uab.edu/studentimmunizations). In lieu of being re-immunized, such individuals may present proof of having had the required immunizations. Proof must be either official medical documentation or certificates of immunization or positive titer. If students do not have such proof or have not been immunized, they must begin the immunization process against these diseases prior to being admitted, attending, enrolling, or participating in UAB academic, research, or clinical programs and activities.

All students enrolled in health-related schools must have had a Tuberculin skin test with negative results or negative blood test or appropriate treatment if positive within three months prior to matriculation. Students participating in clinical environments with patients will be required to obtain a two-step Tuberculin skin test or blood test before starting clinical rotations and are mandated to renew their Tuberculin one-step skin test or blood test once per year. Details of this requirement are outlined by the UAB Student Health Service on their website (http://www.uab.edu/studentimmunizations).

**Short-term Clinical and International Students**

Students enrolled in clinical activities for three months or less and international students present at UAB for less than three months will be considered short-term. These students must be screened to rule out active tuberculosis. Screening requirements are outlined by the UAB Student Health Service on their website (http://www.uab.edu/studentimmunizations).

**General**

The UAB Student Health Service will provide such immunizations and titer testing on a fee-for-service basis for any student who needs to meet his or her UAB immunization or titer requirements. Students may choose to fulfill these requirements at the Jefferson County Health Department or with a private physician.

**Exceptions**

Exceptions to this policy will be made in limited circumstances for students who can document medical and/or other contraindications to the vaccine. Requests for exceptions must be submitted to UAB Student Health Service for consideration and approval.

Students enrolled in online programs listed at http://www.uab.edu/studentimmunizations are exempt from this policy.

**Implementation**

The Provost is responsible for procedures to implement this policy.

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**Health Care Policy for International Students and Scholars**

May 1, 2000

**Introduction**

The purpose of this policy is to ensure that international students and scholars have appropriate health-care opportunities and health insurance coverage while they are enrolled as UAB students or are participating in UAB activities.

**Students and Scholars Covered by this Policy**

1. All UAB degree-seeking international students, regardless of course load, school, or degree program, must participate in the UAB Student Health Service and must have adequate health insurance coverage.

2. All transient and temporary international students must have adequate health insurance coverage. Those students may use the services of the UAB Student Health Service on a fee-for-service basis.
3. International scholars who participate in activities at UAB for longer than four weeks should be encouraged to participate in the UAB Student Health Service and must have adequate health insurance coverage. International scholars here for four weeks or less who do not participate in the UAB Student Health Service may use the services of Student Health on a fee-for-service basis. The inviting UAB department will be offered the opportunity to accept responsibility for the fee-for-service charges incurred. If the department does not wish to pay the fee-for-service bills, the international scholar will be responsible for the bills.

Definitions
For purposes of this policy, the following definitions apply:

“Transient international students” are defined as international students who are in the United States under the authorization of another institution organization but who are taking coursework at UAB.

“Temporary international students” are defined as international students who are taking less than a full-time course of study at UAB and who are not pursuing an official UAB degree or certificate.

“Adequate health insurance” is defined as follows:

a. Insurance provided through the UAB Student Health Service, OR
b. Equivalent personal health insurance, the evidence for which must be shown to, and verified by, the UAB Student Health Service.

Implementation
The Vice Provost for Administration and Quality Improvement is responsible for procedures to implement this policy.

Policy Concerning AIDS and HIV Infection

April 24, 1998

Definitions
The following are definitions or explanations of terminology used in this policy:

AIDS—Acquired immunodeficiency syndrome occurs in someone with HIV infection when one or more of certain disease or infections occurs or when a CD4 (also know as T4 helper) lymphocyte cell count is below 200.

HIV—Human immunodeficiency virus (the virus which causes AIDS).

HIV antibody—A protein in the body produced in response to infection with HIV. (There are tests which look for HIV antibody in a person infected with HIV.)

HIV infection—A condition involving asymptomatic (without symptoms) or symptomatic (with symptoms) stages of infection.

Introduction
Human immunodeficiency virus (HIV) is the virus which causes the disease, AIDS. Infection with that virus damages the human body’s immune (defense) system and allows life-threatening infections to develop. HIV has no known cure or vaccine for prevention. Available medical knowledge indicates that transmission of HIV is primarily through sexual contact or sharing intravenous drug paraphernalia with someone who has an HIV infection. It also can be spread from an infected mother to her baby before, or during, delivery and through breast feeding. HIV cannot be transmitted through casual contact such as sharing food or drink, touching surfaces, shaking hands, dry kissing, or working together. HIV cannot be transmitted by mosquitoes or other insects.

Even if there are no symptoms, an HIV-infected person can transmit HIV to a sexual partner or needle-sharing partner.

Because of the seriousness of the HIV/AIDS issue, the University of Alabama at Birmingham has established this policy which focuses on prevention (through detailed education of students, faculty, and staff) and on the compassionate care of people with HIV infection or AIDS.

A supervisor or anyone in the UAB community who becomes aware of an HIV/AIDS related situation involving an employee, student, or visitor shall follow the guidelines stated in this policy.

Policy Statement
1. Admissions or Employment
The University of Alabama at Birmingham accepts otherwise-qualified individuals presenting themselves for admission or employment, irrespective of their HIV status.

2. Handicapping Conditions
Persons with AIDS (and, possibly, those with other manifestations of HIV infection) will be considered as having handicapping conditions as defined in the Rehabilitation Act of 1973 and the Americans with Disabilities Act. In determining policy and in making related decisions, UAB officials shall properly attend to the legal rights of these individuals and shall make reasonable accommodations as are appropriate for individuals with handicapping conditions.

Decisions regarding the continuation of employment of faculty and staff with HIV infection or AIDS will be made on the basis of job-related criteria. Within current UAB policies and procedures, individuals may be reassigned to accommodate a disabling condition. Termination will be pursued only when the employee, even with reasonable reassignment of responsibilities, can no longer
perform the duties and responsibilities of his or her position. Any such termination action will be taken in accordance with established UAB procedures.

3. Student Attendance
   UAB students who have HIV infections, whether they are symptomatic or asymptomatic, will be allowed regular classroom attendance as long as they are physically and mentally able to attend classes as determined by current UAB academic standards.
   HIV-infected students enrolled in UAB health profession schools may have their educational program modified by their school to limit the risk of disease transmission, in accordance with the Alabama Infected Health-care Worker Management Act.

4. Access to Facilities
   There will be no unreasonable restriction of access on the basis of HIV infection to student or employee facilities, theaters, restaurants, snack bars, gymnasiums, swimming pools, saunas, recreational facilities, or other common areas.

5. Student Housing
   Currently available medical information does not indicate that there exists a risk of transmission of infection by casual contact which would preclude sharing a residence with a person with AIDS or HIV infection. However, there may be reasonable concern for the health of students with immune deficiencies (of any origin) when those students might be exposed to certain contagious diseases (for example, measles or chicken pox) in a close living situation. For these reasons, decisions regarding housing and private rooms for students with HIV infections will be made on a case-by-case basis by UAB Student Housing and Residential Life officials. It is the responsibility of the student to make his or her HIV status known to UAB in order for any accommodation request to be considered. It also is the responsibility of an HIV-infected student to take necessary precautions to avoid exposure of others to infection through known means of transmission.

6. Self-disclosure
   In general, students, student applicants, employees, and applicants for employment at UAB will not be asked to respond to questions concerning the existence of HIV infection. However, both students and employees with HIV infection are encouraged to inform campus health-care providers so that UAB may provide information about proper medical care, medical care availability, support, counseling, and education. This, like any other medical information, will be handled in a strictly confidential manner in accordance with established UAB policy and Alabama law.

7. Immunizations
   Incoming students known to have HIV infection need not be exempted from UAB requirements for non-live virus vaccinations. However, because of potentially serious consequences for HIV-infected persons’ receiving live virus vaccines, persons who are recommended to receive such immunizations should consult the UAB Student Health Center or the Jefferson County Department of Health for current recommendations.

8. Information, Testing, and Counseling
   A. Testing. Students or employees requesting HIV antibody testing will be referred to the Jefferson County Department of Health. UAB University Hospital employees also may receive such testing through the Employee Health Services.
   B. Services. Counseling, information, and education are available through various UAB units including the Student Health Service, the Division of Student Affairs, the Hospital Employee Health Service, and the Office of Human Resource Management. These services currently are made available to the students or employees at no cost and in accordance with the guidelines in each unit.

9. Confidentiality of Information
   A. Standards. No information concerning HIV infection or AIDS or their diagnoses will be provided to any third party other than an employee’s immediate supervisor without the expressed written consent of the infected person. Medical information cannot be released to any person, group, agency, insurer, employer, or institution without specific written consent of the patient or legal guardian, except as required by law. All disclosures of diagnoses of HIV infection or AIDS to individuals functioning in supervisory roles must be treated as confidential information.
   According to present law, UAB physicians and other health-care providers are mandated to protect the confidentiality of medical information with exceptions being made only if the need arises to protect others in very specific, life-threatening circumstances. Also, disclosure by persons other than health-care providers that an individual has HIV infection or AIDS may be considered an invasion of that individual’s privacy. Situations in which disclosure will be made will be determined on a case-by-case basis in consultation with the chair of the AIDS Activities Coordinating Committee and the Office of Counsel, if needed.
   B. Public Health Reporting Requirements. UAB will observe the public health reporting requirements of the Alabama State Department of Public Health. Individuals known to have HIV infection will be reported to the State Department of Public Health according to prevailing statutes.
   C. “Need to Know.” According to the American College Health Association, current medical information concerning HIV neither justifies nor requires warning others of the presence of someone
with HIV infection or AIDS. Given the absence of any evidence of transmission of HIV by casual contact, there is no need or justification for warning individuals in the academic workplace, administrative officers, or instructors of the presence of such an individual. Therefore, the number of people at UAB who will be aware of the existence and/or identity of students or employees who have HIV infection will be kept to an absolute minimum, both to protect the confidentiality and the privacy of the infected persons and to avoid the generation of unnecessary fear and anxiety among faculty, staff, and students.

10. Education

Training requirements for employees deemed at-risk by the AIDS Activities Coordinating Committee shall consist of sessions sufficient in number and depth to comply with prevailing Centers for Disease Control and Prevention recommendations and “Bloodborne Pathogens Standards.” In the absence of such guidelines, the AIDS Activities Coordinating Committee shall determine educational standards. Records of AIDS education training for at-risk employees shall be maintained in the appropriate UAB Human Resource Management Office.

11. Safety Precautions

A. Personnel. Since many people with HIV infection are not identified in advance, universal precautions as defined by the Centers for Disease Control and Prevention and by the Occupational Safety and Health Administration will guide the procedures for the handling of blood and body fluids containing viable blood of any student, employee, or patient. Questions regarding these safety guidelines should be directed to the Department of Occupational Health and Safety, the Hospital Employee Health Service, the Office of Human Resource management, the Hospital Committee on Infections, or the UAB Biosafety Committee. Each unit has the responsibility for developing department-specific directives and procedures. Departments also have the responsibility for compliance monitoring and staff education to prevent the transmission of HIV infection.

B. Equipment. Manuals and procedures already in use at UAB cover the precautions which should be taken when handling infectious materials. Certain of those procedures are re-emphasized here especially as pertains to the transmission of HIV infection.

UAB personnel will use disposable, single-use needles and other equipment whenever such equipment will puncture the skin or mucous membranes of patients, employees, or students. Extreme caution should be exercised when handling sharp objects, particularly in disposing of needles. All used needles should be placed in puncture-resistant containers designated for this purpose. Needles should never be bent or recapped after use. Any needles which are made to be re-used or other equipment that punctures skin or mucous membranes should be appropriately cleaned and sterilized before re-use. Blood-soaked articles should be placed in leak-proof bags with biohazard labels before being sent for reprocessing or disposal in accordance with established UAB infection control guidelines.

C. Teaching Laboratories. Laboratory courses require exposure to blood, such as biology courses in which blood is obtained by finger prick for typing or examination, should use disposable equipment, and no lancets or other blood-letting devices should be re-used or shared. No students, except those in health-care professions, should be required to obtain or process the blood of others.

12. Job Performance

Faculty, staff, students, and all other persons affiliated with UAB shall perform the responsibilities of their positions irrespective of the HIV status of patients, students, or co-workers. Failure to comply with this policy will be considered a failure to adequately perform the responsibilities of one’s position and may result in disciplinary action up to, and including, discharge.

13. Behavior Risk

UAB students, faculty, and staff with HIV infection or AIDS who are aware of the potential danger of their condition to others and who engage in behavior (while performing their employee-related or student-related activities) which threatens the safety and welfare of others may be subject to disciplinary action in accordance with established UAB disciplinary procedures and/or applicable law.

Applicability to Other UAB AIDS Policies

More specific, written guidelines and procedures are the responsibility of individual departments and may be developed, as needed, by department/unit heads. All unit policies must be compatible with this UAB-wide policy and may not be in conflict with it.
# Federal Trafficking Penalties

**As of November 18, 1988**

**CSA**

<table>
<thead>
<tr>
<th>PENALTY</th>
<th>QUANTITY</th>
<th>DRUG</th>
<th>QUANTITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>2nd Offense</td>
<td>1st Offense</td>
<td>2nd Offense</td>
<td>1st Offense</td>
</tr>
<tr>
<td>I &amp; II</td>
<td>Not less than 10 years. Not more than life.</td>
<td>Not less than 10 years. Not more than life.</td>
<td>Not less than 10 years. Not more than life.</td>
</tr>
<tr>
<td></td>
<td>Not less than 5 years. Not more than 40 years.</td>
<td>Not less than 5 years. Not more than 40 years.</td>
<td>Not less than 5 years. Not more than 40 years.</td>
</tr>
<tr>
<td></td>
<td>If death or serious injury, not less than life.</td>
<td>If death or serious injury, not less than life.</td>
<td>If death or serious injury, not less than life.</td>
</tr>
<tr>
<td></td>
<td>Fine of not more than $4 million individual</td>
<td>Fine of not more than $2 million individual</td>
<td>Fine of not more than $4 million individual</td>
</tr>
<tr>
<td></td>
<td>$10 million other than individual.</td>
<td>$5 million other than individual</td>
<td>$10 million other than individual.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

**Drug**

<table>
<thead>
<tr>
<th>QUANTITY</th>
<th>FIRST OFFENSE</th>
<th>SECOND OFFENSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Others*</td>
<td>Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine $1 million individual, $5 million not individual.</td>
<td>Not more than 30 years. If death or serious injury, life. Fine $2 million individual, $10 million not individual.</td>
</tr>
<tr>
<td>III All</td>
<td>Not more than 5 years. Fine not more than $250,000 individual, $1 million not individual.</td>
<td>Not more than 10 years. Fine not more than $500,000 individual, $2 million not individual.</td>
</tr>
<tr>
<td>IV All</td>
<td>Not more than 3 years. Fine not more than $250,000 individual, $1 million not individual.</td>
<td>Not more than 6 years. Fine not more than $500,000 individual, $2 million not individual.</td>
</tr>
<tr>
<td>V All</td>
<td>Not more than 1 year. Fine not more than $100,000 individual, $250,000 not individual.</td>
<td>Not more than 2 years. Fine not more than $250,000 individual, $500,000 not individual.</td>
</tr>
</tbody>
</table>

*Law as originally enacted states 100 gm. Congress requested to make technical correction to kg.

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**Federal Trafficking Penalties - Marijuana**

**As of November 18, 1988**

<table>
<thead>
<tr>
<th>QUANTITY</th>
<th>DESCRIPTION</th>
<th>FIRST OFFENSE</th>
<th>SECOND OFFENSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1,000 kg or more; or 1,000 or more plants</td>
<td>Marijuana Mixture containing detectable quantity*</td>
<td>Not less than 10 years, not more than life. If death or serious injury, not less than 20 years, not more than life. Fine not more than $4 million on individual, $10 million other than individual.</td>
<td>Not less than 10 years, not more than life. If death or serious injury, not less than 20 years, not more than life. Fine not more than $8 million individual, $20 million other than individual.</td>
</tr>
<tr>
<td>100 kg to 1,000 kg; or 100-999 plants</td>
<td>Marijuana Mixture containing detectable quantity*</td>
<td>Not less than 5 years, not more than 40 years. If death or serious injury, not less than 20 years, not more than life. Fine not more than $2 million individual, $5 million other than individual.</td>
<td>Not less than 10 years, not more than life. If death or serious injury, not less than 20 years, not more than life. Fine not more than $4 million individual, $10 million other than individual.</td>
</tr>
<tr>
<td>50 to 100 kg</td>
<td>Marijuana</td>
<td>Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine $1 million individual, $5 million other than individual.</td>
<td>Not more than 30 years. If death or serious injury, life. Fine $2 million individual, $10 million other than individual.</td>
</tr>
<tr>
<td>10 to 100 kg</td>
<td>Hashish</td>
<td>Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine $1 million individual, $5 million other than individual.</td>
<td>Not more than 30 years. If death or serious injury, life. Fine $2 million individual, $10 million other than individual.</td>
</tr>
<tr>
<td>1 to 100 kg</td>
<td>Hashish Oil</td>
<td>Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine $1 million individual, $5 million other than individual.</td>
<td>Not more than 30 years. If death or serious injury, life. Fine $2 million individual, $10 million other than individual.</td>
</tr>
<tr>
<td>50-99 plants</td>
<td>Marijuana</td>
<td>Not more than 5 years. Fine not more than $250,000, $1 million other than individual.</td>
<td>Not more than 10 years. Fine $500,000 individual, $2 million other than individual.</td>
</tr>
<tr>
<td>Less than 50 kg</td>
<td>Marijuana</td>
<td>Not more than 5 years. Fine not more than $250,000, $1 million other than individual.</td>
<td>Not more than 10 years. Fine $500,000 individual, $2 million other than individual.</td>
</tr>
<tr>
<td>Less than 10 kg</td>
<td>Hashish</td>
<td>Not more than 5 years. Fine not more than $250,000, $1 million other than individual.</td>
<td>Not more than 10 years. Fine $500,000 individual, $2 million other than individual.</td>
</tr>
</tbody>
</table>

*Includes Hashish and Hashish Oil. (Marijuana is a Schedule I Controlled Substance.)
## Controlled Substances - Uses & Effects

<table>
<thead>
<tr>
<th>Narcotics</th>
<th>Use</th>
<th>Trade or Other Names</th>
<th>Medical Uses</th>
<th>Dependence</th>
<th>Physical Psychological Effects</th>
<th>Tolerance</th>
<th>Duration (Most)</th>
<th>Usual Method of Administration</th>
<th>Possible Effects</th>
<th>Effects of Overdose</th>
<th>Withdrawal Syndrome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opiates</td>
<td>III</td>
<td>Heroin, Morphine, Methadone, Propoxyphene, Propoxyphene Opiate</td>
<td>Analgesic, analgesic, respiratory depression, constipated patients, nausea</td>
<td>High</td>
<td>High</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>Morphin</td>
<td>III</td>
<td>Morphine, Methadone, Propoxyphene, Propoxyphene Opiate</td>
<td>Analgesic, analgesic</td>
<td>High</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
<td></td>
</tr>
<tr>
<td>Cocaine</td>
<td>III</td>
<td>Heroin, Morphine, Methadone, Propoxyphene, Propoxyphene Opiate</td>
<td>Analgesic, analgesic</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>Heroin</td>
<td>III</td>
<td>Cocaine, Morphine, Methadone, Propoxyphene, Propoxyphene Opiate</td>
<td>None</td>
<td>High</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
<td></td>
</tr>
<tr>
<td>Hydrocodone</td>
<td>II</td>
<td>Codeine, Morphine, Methadone, Propoxyphene, Propoxyphene Opiate</td>
<td>Analgesic</td>
<td>High</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
<td></td>
</tr>
<tr>
<td>Codeine</td>
<td>III</td>
<td>Hydrocodone, Opioid, Methadone, Propoxyphene, Propoxyphene Opiate</td>
<td>Analgesic, analgesic</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>Methadone</td>
<td>III</td>
<td>Methadone, Opioid, Methadone, Propoxyphene, Propoxyphene Opiate</td>
<td>Analgesic</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
</tbody>
</table>

## Depressants

<table>
<thead>
<tr>
<th>Depressants</th>
<th>Use</th>
<th>Trade or Other Names</th>
<th>Medical Uses</th>
<th>Dependence</th>
<th>Physical Psychological Effects</th>
<th>Tolerance</th>
<th>Duration (Most)</th>
<th>Usual Method of Administration</th>
<th>Possible Effects</th>
<th>Effects of Overdose</th>
<th>Withdrawal Syndrome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Barbiturates</td>
<td>III</td>
<td>Barbiturates, Phenobarbitone, Flunitrazepam, Diazepam, Valium</td>
<td>Sedative, hypnoic, respiratory depression, constipated patients, nausea</td>
<td>Low</td>
<td>Low</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>Benzodiazepines</td>
<td>III</td>
<td>Barbiturates, Phenobarbitone, Flunitrazepam, Diazepam, Valium</td>
<td>Sedative, hypnoic</td>
<td>Low</td>
<td>Low</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>Methadone</td>
<td>III</td>
<td>Methadone, Opioid, Methadone, Propoxyphene, Propoxyphene Opiate</td>
<td>Analgesic</td>
<td>High</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
<td></td>
</tr>
<tr>
<td>GHB</td>
<td>III</td>
<td>GHB, GHB, GHB, GHB, GHB</td>
<td>Sedative, hypnoic, respiratory depression, constipated patients, nausea</td>
<td>Low</td>
<td>Low</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
</tbody>
</table>

## Stimulants

<table>
<thead>
<tr>
<th>Stimulants</th>
<th>Use</th>
<th>Trade or Other Names</th>
<th>Medical Uses</th>
<th>Dependence</th>
<th>Physical Psychological Effects</th>
<th>Tolerance</th>
<th>Duration (Most)</th>
<th>Usual Method of Administration</th>
<th>Possible Effects</th>
<th>Effects of Overdose</th>
<th>Withdrawal Syndrome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cocaine</td>
<td>III</td>
<td>Cocaine, Morphine, Methadone, Propoxyphene, Propoxyphene Opiate</td>
<td>Analgesic, analgesic</td>
<td>High</td>
<td>Yes</td>
<td>1-2</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
<td></td>
</tr>
<tr>
<td>Amphetamines</td>
<td>III</td>
<td>Amphetamines, Phenylpropanolamine, Mehtanol</td>
<td>Analgesic, analgesic</td>
<td>High</td>
<td>Yes</td>
<td>1-2</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
<td></td>
</tr>
<tr>
<td>Phenylpropanolamine</td>
<td>III</td>
<td>Amphetamines, Phenylpropanolamine, Mehtanol</td>
<td>Analgesic, analgesic, respiratory depression, constipated patients, nausea</td>
<td>Low</td>
<td>Low</td>
<td>Yes</td>
<td>3-4</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>Methylphenidate</td>
<td>III</td>
<td>Methylphenidate, Phenylpropanolamine, Mehtanol</td>
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<td>High</td>
<td>Yes</td>
<td>1-2</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
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</tbody>
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## Hallucinogens

<table>
<thead>
<tr>
<th>Hallucinogens</th>
<th>Use</th>
<th>Trade or Other Names</th>
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<th>Dependence</th>
<th>Physical Psychological Effects</th>
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<th>Effects of Overdose</th>
<th>Withdrawal Syndrome</th>
</tr>
</thead>
<tbody>
<tr>
<td>LSD</td>
<td>III</td>
<td>LSD, MDMA, MDA</td>
<td>None</td>
<td>None</td>
<td>Unknown</td>
<td>Yes</td>
<td>8-12</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>Mesocline</td>
<td>III</td>
<td>Mesocline, Mehtanol</td>
<td>None</td>
<td>None</td>
<td>Unknown</td>
<td>Yes</td>
<td>8-12</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
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<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>Amphetamine</td>
<td>III</td>
<td>Amphetamine, Mehtanol</td>
<td>None</td>
<td>None</td>
<td>Unknown</td>
<td>Yes</td>
<td>8-12</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>Phencyclidine</td>
<td>III</td>
<td>Phencyclidine, Mehtanol</td>
<td>None</td>
<td>None</td>
<td>Unknown</td>
<td>Yes</td>
<td>8-12</td>
<td>Oral, parenteral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
</tbody>
</table>

## Cannabis

<table>
<thead>
<tr>
<th>Cannabis</th>
<th>Use</th>
<th>Trade or Other Names</th>
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<th>Dependence</th>
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<th>Possible Effects</th>
<th>Effects of Overdose</th>
<th>Withdrawal Syndrome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marijuana</td>
<td>III</td>
<td>Marijuana, Hashish, Hashish Oil, BHO</td>
<td>None</td>
<td>Unknown</td>
<td>Moderate</td>
<td>Yes</td>
<td>2-4</td>
<td>Smoke, oral</td>
<td>Duration (most)</td>
<td>12-24</td>
<td>Constipation, vomiting, nausea, headache, delirium, seizures</td>
</tr>
<tr>
<td>THC</td>
<td>III</td>
<td>Marijuana</td>
<td>None</td>
<td>None</td>
<td>Unknown</td>
<td>Moderate</td>
<td>Yes</td>
<td>2-4</td>
<td>Smoke, oral</td>
<td>Duration (most)</td>
<td>12-24</td>
</tr>
<tr>
<td>Hashan Oil</td>
<td>III</td>
<td>Hashan Oil</td>
<td>None</td>
<td>None</td>
<td>Unknown</td>
<td>Moderate</td>
<td>Yes</td>
<td>2-4</td>
<td>Smoke, oral</td>
<td>Duration (most)</td>
<td>12-24</td>
</tr>
</tbody>
</table>

1 Designated a narcotic under the C.S.A. 2 Not designated a narcotic under the C.S.A.
Graduation Deadline Dates, 2015 - 2016
These dates are subject to change. Check the UAB Class Schedule each semester for any changes to these dates. Also check with your department because some programs have earlier deadline dates for submission of the application for degree.

Plan I
Graduate School deadlines for students completing a thesis or dissertation.

<table>
<thead>
<tr>
<th>Semester</th>
<th>Diploma Date</th>
<th>Deadline for application for degree</th>
<th>Last day for public defense of thesis or dissertation</th>
<th>Graduate School Format Acceptance Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2015</td>
<td>December 12, 2015</td>
<td>September 4, 2015</td>
<td>October 30, 2015</td>
<td>No later than 10 business days following public defense</td>
</tr>
<tr>
<td>Spring 2016</td>
<td>April 30, 2016</td>
<td>January 22, 2016</td>
<td>April 1, 2016</td>
<td>No later than 10 business days following public defense</td>
</tr>
<tr>
<td>Summer 2016</td>
<td>August 13, 2016</td>
<td>May 20, 2016</td>
<td>July 15, 2016</td>
<td>No later than 10 business days following public defense</td>
</tr>
</tbody>
</table>

Plan II
Graduate School deadlines for students NOT completing a thesis or dissertation.

<table>
<thead>
<tr>
<th>Semester</th>
<th>Diploma Date</th>
<th>Deadline for application for degree</th>
<th>Last day for receipt of final papers</th>
</tr>
</thead>
</table>

PLEASE NOTE:
Failure to meet these deadlines will require the filing of a “NEW” Application for Degree Form (reorder) and registration in subsequent semesters. The Application for Degree form (approved at the department level and received in the Graduate School) should be filed prior to the beginning of the semester the student plans to graduate. It is the student’s responsibility to see that the above deadlines are met. Students will not be cleared for graduation until all paperwork has been processed, all grades have been finalized, and all fees (e.g., binding and microfilm) have been paid. Fee payment receipts for binding, microfilming, and copyrighting must be turned into the Graduate School office. The above dates are subject to change. Check with the Graduate School, Lister Hill Library G03, or call 934-0656 if you have any questions concerning graduation.
## Tip Sheet for Students Involved in Research Involving Human or Animal Subjects

<table>
<thead>
<tr>
<th>Who can serve as Principal Investigator (PI)?</th>
<th>IRB</th>
<th>IACUC</th>
<th>OH&amp;S</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI may be the student, however, the faculty mentor must be listed as Co-PI and is equally responsible for the conduct of the study.</td>
<td>PI must have faculty status. List faculty mentor as PI on animal protocol and list student’s name in parentheses after title.</td>
<td>PI may be the student, however, the faculty mentor must be listed as Co-PI and is equally responsible for the conduct of the study.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>How are students added to a protocol?</th>
<th>IRB</th>
<th>IACUC</th>
<th>OH&amp;S</th>
</tr>
</thead>
</table>
| (1) Submit amendment/revision form noting addition of personnel to existing protocol.  
(2) submit new protocol including student’s name as PI  
(3) add student’s name to request for changes in Investigator’s Progress Report (renewal form) if involvement coincides with renewal due date. | (1) Submit modification request form noting addition of personnel to existing protocol.  
(2) submit new protocol including student’s name in personnel section, or  
(3) add student’s name to renewal form if involvement coincides with renewal due date. | (1) Send email to Glenda P. Moon (Glenda@uab.edu) or Donna S. Williamson (dsw@uab.edu) and indicate protocol name and funding agency (provide OH&S project #) and list students to be added.  
(2) Amend Project Registration form to include additional student names. Make a note that the addition of students is the only amendment. |

<table>
<thead>
<tr>
<th>When is it a procedural vs personnel modification?</th>
<th>IRB</th>
<th>IACUC</th>
<th>OH&amp;S</th>
</tr>
</thead>
<tbody>
<tr>
<td>n/a</td>
<td>If the student proposes to conduct animal procedures that are not already part of an approved protocol under their mentor then the mentor must either submit an amendment or a new protocol.</td>
<td>n/a</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Timeline for review and approval.</th>
<th>IRB</th>
<th>IACUC</th>
<th>OH&amp;S</th>
</tr>
</thead>
</table>
| Amendment/Revisions are normally reviewed within a week – you may add RUSH to top of form with an explanation as to the nature of the RUSH request – some request may be returned in 2 – 3 working days. | Personnel modifications are reviewed within 1 -2 business days of receipt and can be approved when all required training documentation is on file.  
Procedural modifications and new protocols received by the 21st of the month (or next regular business day if 21st is holiday or weekend) are entered into the subsequent month for review.  
Voting for protocols called for Full Committee Review occurs on the last Wednesday of the assigned review month. | Personnel modifications are reviewed within 1 -2 business days of receipt. PI and added personnel will be notified if additional information is needed. |

<table>
<thead>
<tr>
<th>Required training.</th>
<th>IRB</th>
<th>IACUC</th>
<th>OH&amp;S</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial and continuing Human Subjects Training which as applicable. Available training options and instructions are available at <a href="http://www.uab.edu/research/administration/offices/IRB/Training/Pages/default.aspx">http://www.uab.edu/research/administration/offices/IRB/Training/Pages/default.aspx</a>. If students have completed training at another institution it may be submitted for review by the OIRB and may be accepted to meet UAB’s training requirements. On-line training may be started before student arrives on campus.</td>
<td>Students must complete the following training items, accessible through BlazerNet: (1) Basic training in rules, regulations, ethics and (2) species-specific training. Items 1 and 2 are on-line training modules (ca. 3 hrs).</td>
<td>Depends on the nature of the research. In addition to IACUC and IRB requirements, the use of material of human origin requires annual bloodborne pathogen training.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Occupational Health</th>
<th>IRB</th>
<th>IACUC</th>
<th>OH&amp;S</th>
</tr>
</thead>
<tbody>
<tr>
<td>The requirements for the UAB Occupational Health Program must be met before final approval to work</td>
<td>The requirements for the UAB Occupational Health Program must be met before final</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Requirements</td>
<td>with animals is granted. All non UAB employees must receive clearance from their personal physician indicating that the physician has reviewed the proposed work and the medical history of the individual, that the individual is current for all required immunizations, and has been cleared to conduct the work proposed on the UAB Employee Occupational Health Enrollment Form. The letter and the form must be submitted before the requirements are met and the student cleared. <strong>Please note: this may take extra time.</strong></td>
<td>approval to work with animals and certain other work (i.e., work with material requiring immunizations) is granted. All non UAB employees must receive clearance from their personal physician indicating that the physician has reviewed the proposed work and the medical history of the individual, that the individual is current for all required immunizations, and has been cleared to conduct the work proposed on the UAB Employee Occupational Health Enrollment Form. The letter and the form must be submitted before the requirements are met and the student cleared. <strong>Please note: this may take extra time.</strong></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td><strong>Student defined.</strong></td>
<td>An individual enrolled in a UAB undergraduate or graduate program.</td>
<td>An individual enrolled in a UAB undergraduate or graduate program.</td>
<td>An individual enrolled in a UAB undergraduate or graduate program.</td>
</tr>
<tr>
<td><strong>Non-UAB students.</strong></td>
<td>An individual enrolled in an undergraduate or graduate program at another institution. Non-UAB students must complete training, however, training from their &quot;home&quot; institution may be accepted. Please call OiRB for clarification. Non-UAB students may need a “blazer ID” to access on-line training. Faculty mentors may contact Human Resources for more information about obtaining a blazer ID and appointment of the student.</td>
<td>An individual enrolled in an undergraduate or graduate program at another institution. Non-UAB students may complete training items 1 and 2 but are not eligible for enrollment in the UAB Occupational Health Program. They must submit documentation of an equivalent evaluation provided through their own personal physician. They may use the UAB form, which must be submitted with a physician clearance, as the basis for that evaluation.</td>
<td>An individual enrolled in an undergraduate or graduate program at another institution. Non-UAB students may complete UAB on-line training (call to register) but are not eligible for enrollment in the UAB Occupational Health Program. They must submit documentation of an equivalent evaluation provided through their own personal physician. They may use the UAB form, which must be submitted with a physician clearance, as the basis for that evaluation.</td>
</tr>
<tr>
<td><strong>Sponsored Projects</strong></td>
<td>If the student is the Prime Awardee of their own sponsored research project they must submit a new protocol specifically detailing the protocol which must be concordant with the funding application.</td>
<td>If the student is the Prime Awardee of their own sponsored research project (i.e., funds budgeted for direct support of animal purchases, per diems, supplies, etc.) they must submit a new protocol specifically detailing the animal procedures proposed in the corresponding grant, fellowship, contract, etc. If the student is the Prime Awardee of a grant, fellowship, contract, etc with funds solely for salary support they must submit the IACUC form to register the project as a salary support project. Note: faculty mentor should be listed as PI on the IACUC form.</td>
<td>If the student is the Prime Awardee of their own sponsored research project, and that project either involves material that is potentially hazardous or requires some sort of approval from OH&amp;S, they must submit a new protocol specifically detailing the protocol which must be concordant with the funding application.</td>
</tr>
<tr>
<td><strong>Forms and staff directory</strong></td>
<td><a href="http://www.uab.edu/irb">www.uab.edu/irb</a></td>
<td><a href="http://www.uab.edu/iacuc">www.uab.edu/iacuc</a></td>
<td><a href="http://www.healthsafe.uab.edu">www.healthsafe.uab.edu</a></td>
</tr>
</tbody>
</table>