SHRP FACULTY AFFAIRS COMMITTEE MEETING
November 19, 2002 Minutes

I. Call to Order – The meeting was called to order at 3:33 pm. A quorum was present.

II. Attendance
   a. Members Present: Wes Granger, Susan Perkins, Jan Rowe, Mary Warren, Terry Hoobler, Carolyn Sherer, Linda Jeff, Janice Hall, Barbara Gower, Beth Kitchin, Philip Blatt, Laurie Adams, Pam Cartright
   b. Members Absent with Notification:
   c. Members Absent Without Notification:
   d. Ad-Hoc Members Present: Debra Laken
   e. Ad-Hoc Members Absent: Bill Ogard, Gerry Glandon
   f. Guests: Dean Harold Jones
   g. Dean’s Designee: Dr. Claire Peel
   h. Recorder: Bruce MacIver

III. Minutes Approval for October 15, 2002 meeting – The minutes were distributed and approved as written.

IV. Faculty Senate Report – Debra Laken
   A written report of the November 12, 2002 Faculty Senate meeting was distributed. The written report is attached to the official minutes in the FAC files.

V. FPPC Report – Pat Greenup reported that the FPPC has received the review of Section 2, Appendix A-C from the Faculty Senate. The FPPC is working on the suggested changes. The goal is to have the changes complete by the January meeting.

Debra Laken presented a written report for the October meeting. The written report is attached

VI. Old Business
   a. SHRP FAC Promotion and Tenure Guidelines
      The FAC Chair requested that an ad hoc committee be formed to review Appendix B to the SHRP Promotion and Tenure Guidelines and make suggestions, changes, etc. by the January 21, 2003 meeting of FAC. Members of the ad hoc committee are: Carolyn Sherer, Barbara Gower, Pam Cartright, Claire Peel. Dr. Peel announced that she and Dean Jones are meeting with all candidates who have indicated they intend to seek promotion and/or tenure in 2003 as well as all Departmental Review Committees. The purpose of the meetings are to help candidates and DRC’s with the submission of the packets. FAC will only review the packet that will be submitted to the Provost. It will be up to each DRC as to whether they will review supplemental materials. FAC will not review any supplemental materials. Dr. Peel also announced that the letter from the candidate to the Dean needs to be very short, approximately one sentence or so. Detailed information is to be included in the packet, not in the letter.
   b. Update FAC membership demographics
      An updated membership roster was distributed. Members were requested to make any changes so that the membership roster can be posted to the FAC website.

VII. New Business
   a. Top Six Topics-prioritization, sub-groups identified, timelines
      The FAC Chair distributed a list of the Top Six Topics of issues that need to be addressed by FAC and this was further reduced to four. Members are requested to review the list and be prepared to discuss at the January meeting whether to keep the prioritization the same and work distribution for the list.
VIII. Open Forum – No discussion

IX. Announcements

a. There will not be a meeting in December. The next meeting will be January 21, 2003.
b. The meeting dates for 2003 are: January 21, February 18, March 18, April 15, May 20, 
  June 17, July 15, August 19, September 16, October 21. The dates will be posted to the 
  FAC website.

XI. Motions/Resolutions review

No motions were presented.

XII. Adjournment

The meeting was adjourned at 4:33 pm.

ATTACHMENT A

VERSION APPROVED BY FAC September 17, 2002 SENT TO DEAN

Promotion and Tenure Guidelines Approval Documentation

The faculty members and Chairs of the Departments of SHRP developed these promotion and tenure guidelines to be in compliance 
with the current UAB Faculty Handbook and Policies.

This documentation page serves as an ongoing log of the initial approval and all subsequent revisions/amendments to these guidelines 
to include the signatures of persons in the titled positions and the dates the documents were approved.

A. Faculty Affairs Committee/SHRP
   Chair of FAC:

   Signature: ______________________________________________

   Printed Name: ____________________________________________

   Date: ____________________________________________________
The following statements on promotion and tenure serve to expand and clarify information in the current UAB Faculty Handbook and Policies (Sections 2.4, 2.5 and 2.6) and the current SHRP Faculty Handbook (Section 3.0)

Outline of Contents
I. Introductory Statement/Philosophy

II. Overview of Promotion & Tenure Process
   A. Description of activities
   B. Timeline of activities after February 15 of each year
   C. Responsibilities of candidate, committees, program director/division director/chair, dean
   D. External review process
   E. Department Chair Review Process

III. Preparation of materials (packet)

IV. Department Guidelines for Promotion and Tenure
   A. Department of Critical Care
   B. Department of Diagnostic and Therapeutic Sciences
   C. Department of Health Services Administration
   D. Department of Nutrition Sciences
   E. Department of Occupational Therapy
   F. Department of Physical Therapy

V. Appendices
   A. UAB Faculty Promotion/Tenure Action Summary Form
   B. SHRP/FAC Promotion & Tenure Packet Review Process
   C. FLOWCHART FOR PROMOTION AND/OR TENURE PROCESS FOR A DEPARTMENT CHAIR CANDIDATE

NOTE: APPENDIX B IS TO BE REVIEWED/DISCUSSED AT THE OCTOBER MEETING

I. Introductory Statement/Philosophy
The purpose of promotion and tenure is to maintain and improve faculty effectiveness through a peer review process that includes criteria that were developed and approved by the faculty. Promotion and tenure are separate and distinct events. Promotion awards faculty for significant achievements in the areas of teaching, scholarly activity and service. Tenure is awarded to acknowledge a faculty member’s commitment to the University and is demonstrated by contributions to the Department, School and University that maintain or improve the quality of the institution. Persons awarded tenure will be given continuing appointments as UAB faculty. The length of the tenure-earning period for SHRP is ten years and the start and completion date is determined by the date of initial appointment date as defined in the current UAB Faculty Handbook and Policies (Section 2.6.6.4.)

Faculty members who are eligible for promotion and/or tenure are reviewed by committees of their peers and by individuals with administrative appointments. Within each department, a regular review process occurs at least every two years and is conducted by a Department Promotions Committee (DPC.) An elected Department Review Committee (DRC) shall review each candidate's packet according to defined departmental guidelines. Each department determines whether there will be two departmental committees or whether one committee will perform both functions. If a department has one DPC/DRC, then the faculty of the department shall elect the members.

After the packet is submitted to the SHRP Dean for distribution, the SHRP Faculty Affairs Committee (FAC) reviews the materials in the packet. It is the responsibility of all committee members and administrators to act in a manner that reflects confidentiality, consistency and fairness.

Because of the diversity of the SHRP, and the varied emphasis on scholarship, service and teaching in the various units, each unit has developed specific criteria for promotion and tenure. Individual department policies may not be less stringent than, or be inconsistent with UAB or SHRP policies.

This document has been developed in compliance with the current UAB Faculty Handbook, and has been approved by the SHRP Faculty Affairs Committee (FAC), SHRP Dean and UAB Provost.
II. Overview of Promotion & Tenure Process

A. Description of activities

For any faculty member initiating the review process, the DPC reviews faculty progression toward promotion/tenure and provides feedback at least every two years. A copy of the review is sent to the faculty member, the Department Chair (referred to as the ‘Chair’ in this document) and the Dean. The Chair provides written feedback on an annual basis to each faculty member on his/her progress toward promotion and/or tenure.

According to the timeline established by his/her department, the faculty member meets with Program Director/Division Director or Chair, and notifies the Chair in writing of his/her intent to submit a packet. In making the decision to submit a packet for consideration, it is important that the faculty member NOT consider the following as inherent criteria for promotion: (1) one's own qualifications relative to those of another faculty member at a higher rank, and (2) longevity at the current faculty rank (beyond the minimum requirement.) Holding a certain faculty rank for a relatively long period of time does not necessarily increase one's qualifications for promotion. Each person must be evaluated on his/her own accomplishments, and on the strength of the promotion packet and letters from external reviewers.

The faculty member and program director/division director/chair then identify persons to serve as external reviewers. The materials are sent to at least three external reviewers. The review letters from the external reviewers are placed in the candidate’s packet. The faculty member then is reviewed by the DRC. If for any reason a faculty member has not received the prescribed reviews from a DPC or a departmental chair, the faculty member has the right to initiate the promotion and/or tenure process. The candidate should seek advice from the Affirmative Action Officer or the Academic Personnel Policy appointee in the Provost's office when the candidate is not able to obtain needed information to complete his/her packet.

The candidate and the department chair review the packet and assure that the organization and identification of the contents meet the Provost requirements. The Chair forwards the packets (original and three copies) to the Dean’s office for distribution to FAC. The copies forwarded to the Dean must not contain any markings of any type on any of the pages in the packets. The candidate’s department is responsible for the production of the packet copies and copies of any supplemental materials produced as a second notebook to be submitted to the FAC and the Dean for review. The Dean forwards three copies of the packet and of the supplemental notebook, if submitted by the candidate to the FAC. After reviewing the packet, the FAC makes a recommendation to the Dean. The Dean considers the recommendations of the Chair, DRC and FAC and makes a recommendation that is sent to the Provost. After reviewing the materials, the Provost makes a recommendation that is sent to the President for final approval.

B. Timeline for activities after February 15 of each year

During May/June, the candidate initiates the process by obtaining the current UAB, SHRP, and departmental promotion and tenure guidelines. The candidate's packet is to be reviewed by a program director/division director, DRC and department chair prior to February 15. After February 15 the candidate’s packet is reviewed by FAC the SHRP Dean and the Provost. The specific timeline prior to February 15 is defined in the candidate’s departmental promotion and tenure guidelines.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>By February 15</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Chair forwards original and three copies of the packet to Dean for distribution</td>
<td></td>
</tr>
<tr>
<td>• The Dean’s office notifies the candidate via email that the packets and supplemental notebooks have been received</td>
<td></td>
</tr>
<tr>
<td>• Candidate interacts with Dean's office to assure the inclusion of all required documents</td>
<td></td>
</tr>
<tr>
<td>By March 1</td>
<td>Dean forwards three copies of each packet to FAC Chair</td>
</tr>
<tr>
<td>By April FAC Meeting (3rd Tuesday of Month)</td>
<td>FAC completes review process according to FAC P&amp;T Review Process guidelines (Appendix B)</td>
</tr>
<tr>
<td>By May 1 (ASAP)</td>
<td>FAC Chair submits recommendations and required documentation to Dean</td>
</tr>
<tr>
<td></td>
<td>FAC Chair completes the required documentation on the UAB Faculty Promotion/Tenure Action Summary Form</td>
</tr>
<tr>
<td>By Date Defined by the Provost Office</td>
<td>Dean sends recommendations to Provost</td>
</tr>
<tr>
<td></td>
<td>Dean notifies Department Chairs of recommendations</td>
</tr>
<tr>
<td></td>
<td>Department Chair notifies candidate of status</td>
</tr>
<tr>
<td></td>
<td>Dean notifies FAC of the Dean's recommendation for each packet</td>
</tr>
<tr>
<td>During June-September</td>
<td>Provost sends recommendations to President</td>
</tr>
<tr>
<td>By October 1</td>
<td>Candidate notified of final decision via letter from the President.</td>
</tr>
</tbody>
</table>
C. Responsibilities of candidate, committees, program director/division director/chair, Dean

1. Candidate

a. Upon initial appointment, and prior to developing a packet, review the current UAB Faculty Handbook and Policies, the current SHRP Faculty Handbook and current departmental guidelines for promotion and tenure, including the appeals section (Section 2.6.11 UAB Faculty Handbook).

b. Develop a packet of materials to support the application for promotion and for the award of tenure that is in compliance with the current Provost’s directions.

c. Each candidate is responsible for submitting the required materials according to the prescribed datelines in the SHRP and departmental guidelines.

2. Program Director/Division Director/Chair

a. General responsibilities

1. For the DPC and DRC, the Chair is responsible for assuring that these Committees (Section IV of this document) function according to the current UAB Faculty Handbook and Policies and the department's promotion and tenure guidelines.

2. Ensure that the promotion and tenure guidelines are current and approved by all required persons and administrators.

3. Ensure that current promotion and tenure guidelines are distributed to all faculty and to initial appointees.

b. Responsibilities related to an application for promotion and/or tenure

1. During annual performance evaluation, discuss with possible candidates the status of the candidate's progress toward tenure and/or promotion.

2. Develop a list of potential external reviewers.

3. Send letters and materials to external reviewers (except when a department's approved guidelines request such action by the Dean.)

4. Assist candidate to prepare the promotion/tenure packet.

5. Prepare letter of recommendation indicating support or non-support to include reference to attainment of specific requirements related to promotion and/or tenure in the candidate's current letter of appointment.

6. Upon receipt of the three external reviewer letters, add these documents to the candidate's packet.

7. Submit the candidate's packet to the DRC and notify the candidate that the packet has been forwarded to the DRC.

8. Review all recommendation letters and review the completed packet with the candidate. Forward the candidate's original and three copies of the packet and original and three copies any supplemental notebooks to the Dean.

9. Inform the candidate of the Dean's recommendation. (Chair)

10. Inform the candidate of the final decision. (Chair)

3. Departmental Promotions Committee (DPC)
a. Review candidates for tenure and/or promotion at least every two years in compliance with Sections 2.6.7 and Sections 2.6.9.1 of the current UAB Faculty Handbook and Policies.

b. Provide a letter of recommendation that is sent to the faculty member, the Chair and Dean.

4. Departmental Review Committee (DRC)

a. Review a candidate's packet using the department's P&T guidelines and the SHRP guidelines and the UAB Faculty Handbook. DRC members are not to write in or make any marks in the documents being reviewed.

b. Provide a letter of recommendation that is addressed to the Dean, copied to the department chair and to the candidate. The letter must include the committee’s rationale for their recommendation. The letter of recommendation should have the signatures of each DRC member along with rank and tenure status as well as position on the DRC (chair or member.)

c. If the committee has questions about the packet, then the candidate is to be contacted and given the opportunity to respond to the questions or concerns in view of the guidelines and criteria for the department. If appropriate, the candidate may add materials that respond to any DRC questions/concerns.

d. Forward the candidate's packet to the Department Chair. Notify the candidate by email that his/her packet has been forwarded to the Chair and the DRC review has been completed.

5. SHRP - Faculty Affairs Committee Review Process (Appendix B)

6. SHRP Dean

a. Solicits letters from external reviewers for those departments with Dean role in the external review process.

b. Receives candidate packets (original and 3 copies of packet and supplemental notebooks) from Department Chairs.

c. Forwards packets to Faculty Affairs Committee for review by March 1.

d. Reviews packets and recommendations of FAC and prepares a written recommendation that is sent to the Provost (Section 2.6.8.2 – current UAB Faculty Handbook and Policies, and the current SHRP Faculty Handbook)

e. When Dean’s decision completed, Dean meets with each candidate to review the recommendations and Dean’s decision.

f. Notifies Chair of Dean's recommendations.

g. Forwards packets with Dean’s decision to the Provost.

h. Retains the original of each candidate's packet in the Dean's office as part of the personnel file for the faculty member.

7. Provost and President Review

This level of review is prescribed in the current UAB Faculty Handbook and Policies.

D. External Reviewers/Process

1. Purpose

Section 2.5 of the current UAB Faculty Handbook and Policies states –
"all faculty members shall be evaluated in the teaching, research and service areas by colleagues at UAB, as well as by colleagues outside of the institution."

The purpose of external reviews is to achieve peer review from professionals with similar roles and responsibilities and experience in the field of the candidate. Additionally, the external references/reviewers are a
means of documenting the impact of the candidate's professional contributions beyond UAB.

2. The external review process for each department is outlined in the department guidelines in Section IV of this document.

E. Department Chair Review Process

The following review for progress toward promotion and/or award of tenure shall be implemented when a current department chair is seeking promotion, award of tenure or promotion and award of tenure.

1. Composition of Progress Review Committee
   a. A committee of five SHRP faculty members with primary appointments in SHRP will be selected.
   b. The Dean will appoint two tenured members to the committee with the rank sought by the candidate. At least one member should be a department chair who has served on the School Executive Committee with the candidate.
   c. The other three members will be elected from the candidates department and will hold the faculty rank sought by the candidate.
   d. If the candidate’s department does not have three faculty members with the required rank, the Dean, will select three faculty members from a list of recommended SHRP faculty generated by the department’s faculty from the candidate’s department.

2. Function of Progress Review Committee
   This Committee shall function in the same capacity as any SHRP department’s committee with the responsibility to assist faculty members in their determination of their progress toward meeting the school and department’s criteria and process described in the promotion and tenure guidelines for UAB, SHRP and the candidate’s department. (Appendix C.)

III. Preparation of Materials (packet)

A. Create a table of contents and identify the sections of the required Provost materials using dividers and labeled tabs.
   The UAB Faculty Promotion/tenure action summary form is to be placed in the front of the packet as the first item in the table of contents.
   The candidate must indicate on the provost for, if he/she wants to waive the right to see the contents of the packet after letters of recommendations have been added.

B. Using the current "UAB Faculty Promotion/Tenure Action Summary Form" approved by the Provost (Appendix A), the candidate's packet must be organized as follows:

   1. Current curriculum vita
   2. Departmental, school-wide, and Dean's reports/letters
   3. Teaching evaluation materials (cafeteria reports, other)
   4. Additional evidence of research productivity not reflected in the vita
   5. Additional service activities (internal and external to UAB) not reflected in the vita
   6. Reports by referees external to UAB (minimum of three)
   7. Chair's annual review and pre-tenure and/or pre-promotion departmental review

   FAC Note: to include the Chair’s reviews since the candidate’s last Promotion for item # 7

   The materials listed above should be placed in a one or two inch 3-ring binder to be forwarded to the Provost’s Office.

NOTE: FAC WILL NOT REVIEW PACKETS THAT ARE NOT PREPARED ACCORDING TO THE REQUIRED ORGANIZATION AND IDENTIFICATION OF THE MATERIALS IN A PACKET.
C. In a cover memo addressed to the Dean, the candidate must declare the area(s) of excellence or competence for which he/she is submitting documentation. The candidate must complete the "UAB Faculty Promotion/Tenure Action Summary Form" and assure that this form is in the packet.

NOTE: THIS COVER MEMO WILL BE REMOVED BEFORE THE PACKET IS SUBMITTED TO THE PROVOST.
CANDIDATES ARE ENCOURAGED TO INCLUDE THIS TYPE OF INFORMATION IN THE MATERIALS THAT WILL BE SUBMITTED TO THE PROVOST

1. When an initial letter of appointment outlines specific expectations for a faculty member and these expectations are related to criteria that will be used for promotion and/or tenure then the letter of appointment requirements must be addressed by the candidate in the cover memo.

2. The Program or division director or chairs' letters should address the candidate's accomplishments toward the prescribed activities in the candidate's letter of contract.

D. The candidate must complete the packet in compliance with the defined due dates prescribed in the timeline of his/her departmental guidelines. The candidate must assure the inclusion of all letters of recommendation they have requested. The candidate has the right to see letters or documents added by his/her program director or division director, or department chair. Departmental promotion and tenure guidelines must be consulted concerning the candidate’s access to the DRC report and the reports from the three external reviewers.

E. The candidate is to be notified in writing via email of the date of the packets receipt in the Dean's office.

ATTACHMENT B

September 7, 2002
The FAC Executive Committee is presenting the following proposal as a motion for FAC to act on as a recommendation to the Dean.

Bettye Wilson moved that the following recommendation be forwarded to Dean Jones requesting that consideration be given to the implementation of an SHRP Office of Faculty Affairs and Development and that the Dena appoint an Assistant Dean for Faculty Affairs to implement an ongoing over site process for faculty personnel related policies, promotion and award of tenure activities and topics referred to in the following sections of this motion.

RATIONALE:
The “top six topics” identified by FAC as needs of the faculty in SHRP are:

1. review the practices of performance evaluation and how linked to the promotion and tenure guidelines
2. discuss faculty development/mentorship—does the school have sufficient opportunities for young and inexperienced faculty to grow and be successful in their academic appointments
3. define ‘appeals process’ within SHRP when a faculty member is denied tenure or promotion at SHRP level processes
4. review the criteria for performance evaluation for non-tenured faculty who do not have assignments in all three areas (service, teaching, research)
5. research needs of the faculty – are the research needs of faculty being met? Such as grant preparation, IRB application and issues, assistance with experimental design and biostatistics, assistance with submitting articles for publications and preparing presentations
6. discuss the need for an orientation process for new faculty in SHRP

All of these issues are relevant to the future success and the productivity or performance indicators for SHRP. The FAC can only make recommendations to the Dean. The FAC does not have the authority or the means to implement and evaluate any activities recommended.
At the May 14, 2002 FAC meeting with Dean Jones there was discussion about the need to examine the methods for the evaluation of teaching effectiveness. The methods need to be linked to the criteria and evaluation process of the promotion and award of tenure review.

Additionally, suggestions indicated a need to focus on development of the role of the DPCs, the Program Director, the Chair related to the mentoring process needed to assist/prepare faculty to support the goals/objectives of their programs, departments, the SHRP and UAB.

The promotion and tenure process within SHRP will continue to need monitoring, revisions and coordination with the Provost office and changes in the UAB Faculty Handbook. This process requires collaboration between the academic administrators and the faculty across all departments.

While Dean Jones indicated that he supported shared governance, the process, the commitment and the support for such activities by faculty must be integrated into the productivity and reward systems of the departments and the SHRP. To establish equity for non-tenured, on tenure earning track and tenured faculty there is a need to have a stable process concerning personnel actions/decisions related to faculty within the SHRP.

Possible functions for an Office of Faculty Affairs:

1. administrative support for appointment, promotion and tenure processes
2. support for review, revision, development of faculty policies
3. databases for faculty appointments
4. contracts and letters of appointment – process and record protection and storage
5. support for faculty handbook currency and bylaws for the governance of the school
6. administrative support for searches for department chairs, center directors, deans
7. faculty governance/administration
8. grievance proceedings
9. personnel management issues
10. periodic trend analyses such as retention, recruitment gender issues
11. orientation programs/activities
12. mentoring programs
13. leadership development
14. research skill development
15. fellowships for junior faculty
16. mentoring for administrative skills supporting promotion into academic administrative positions
17. faculty development based on individual, program, department and school needs
18. support for achieving performance indicators as identified in the vision, mission, goals and objectives of the school, departments, and programs
19. support faculty opportunities for university wide service and development of school interactions for collaboration for research and student projects