SCHOOL
OF
HEALTH
RELATED
PROFESSIONS
FACULTY HANDBOOK

Amended by the SHRP Faculty
September 24, 2001
March 4, 2002
July 16, 2002
The first School faculty handbook contained bylaws, policies, guidelines, and procedures as adopted by the faculty on February 22, 1977, and approved by the Dean on April 22, 1977.

Updates and revisions were compiled as the second edition, *SCAH Faculty Handbook 1984*. *SHRP Faculty Handbook 1994*, the third edition, contained all SHRP faculty bylaws as revised by the SHRP faculty and approved by the Dean through October 1, 1994. The Dean approved the 1996 edition of the SHRP Faculty Handbook in August 1996.

This edition, *SHRP Faculty Handbook 2002*, is published to incorporate revisions so as to comply with the current online *UAB Faculty Handbook and Policies* and the SHRP reorganization to six departments and one freestanding division.

In accordance with the current online *UAB Faculty Handbook and Policies*, the School's Faculty Handbook shall be approved by the faculty, the Dean and the Provost to assure that no personnel practices in the School are less stringent than those practices prescribed in the current online *UAB Faculty Handbook and Policies*.

**SHRP FACULTY APPROVAL:**

Chair of Faculty Affairs Committee

Name: _______________________________________________________________________

Signature/Date: _______________________________________________________________________

**SHRP DEAN APPROVAL:**

Name: _______________________________________________________________________

Signature/Date: _______________________________________________________________________

**PROVOST APPROVAL:**

Name: _______________________________________________________________________

Signature/Date: _______________________________________________________________________
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1. INTRODUCTION

The School of Health Related Professions’ SHRP Faculty Handbook 2002 is a supplement to the University of Alabama at Birmingham’s current online UAB Faculty Handbook and Policies

http://main.uab.edu/show.asp?durki=29493

This handbook is consistent with the University’s policies and procedures and contains more specific detail regarding certain matters pertaining to faculty personnel and academic affairs. Matters pertaining to personnel policies for faculty, not addressed in this supplemental handbook, are covered in the UAB Faculty Handbook and Policies. The current UAB Faculty Handbook and Policies supersedes the SHRP Faculty Handbook contents and the bylaws of the SHRP faculty.

1.1 EQUAL EMPLOYMENT OPPORTUNITY POLICY

The SHRP abides by the Equal Employment Opportunity Policy of UAB that is on file in the Dean’s Office (refer to current UAB Faculty Handbook and Policies, Section 2.1.)

1.2 SHRP MISSION STATEMENT

The School of Health Related Professions is dedicated to being an important regional, national, and international resource, and the primary resource for the State of Alabama in the education, research, and service-related activities for the health professions in allied health, health services administration, and nutrition sciences. The School is committed to excellence in all that it undertakes and to improving the health, welfare, and quality of life of the citizens of Alabama and beyond. In collaboration with other units in the University, as well as organizations external to the institution, this School has an essential role in achieving the mission of the University of Alabama at Birmingham. (Refer to the UAB vision, mission and guiding principles/core values on the inside front cover of the current UAB Faculty Handbook and Policies.)

2. SHRP FACULTY BYLAWS

2.1 NAMES AND PURPOSE

The name of this organization shall be the Faculty of the School of Health Related Professions (SHRP), hereinafter referred to as the “School”, of the University of Alabama at Birmingham (UAB).

The faculty, administration, and students will participate together in the development of faculty, academic, and student related policies concerning the School. The Academic Affairs and Faculty Affairs Committees will be the formal mechanisms for accomplishing this purpose in accordance with the established policies of the UAB.
2.2 SCHOOL GOVERNANCE

The School is composed of six departments and one freestanding division as academic units for the purpose of personnel matters. The departments have chairs serving as unit administrators who report to the Dean and the freestanding division has a director who reports to the Associate Dean.

2.2.1 DEAN

The Dean of the School is the chief administrative officer and the duties include:

1. Performing the duties of Dean as prescribed by the Provost and the President.
2. Insuring that all academic administrators, faculty and staff in the School comply with the UAB Policies and Procedures
   http://www.iss.uab.edu/MgtSupSvcs/PolManual.PDF
   The current UAB Faculty Handbook and Policies
   http://www.uab.edu/facultyhandbook
   Manuals of Safety and Biosafety
   http://www.healthsafe.uab.edu

3. Ensuring that School policies enforce UAB policies related to students' actions and procedures.

4. Serving as an ex-officio member of the School's standing committees and any Ad-Hoc committees of the School.

5. Forwarding of recommendations from departmental committees, the School's Faculty Affairs Committee, and departmental Chairs regarding appointment, reappointment, tenure and promotion to the Provost along with the Dean's comments and recommendations.

6. Obtaining, allocating and supervising the disbursement of School funds and resources.

2.2.2 ADMINISTRATIVE STAFF

The Dean of the School may appoint Associate and Assistant Deans to aid in the administration of the School and its activities. The Dean shall define the duties of these appointees and inform the faculty and staff of such duties so as to facilitate School operations. The Affirmative Action Officer is appointed by the Dean.
2.2.3 DEPARTMENT CHAIRS AND FREESTANDING DIVISION DIRECTORS

The department chair or freestanding division director is the administrative officer of the department or freestanding division. The selection process for these administrators shall conform to UAB recruitment and appointment policies for academic administrators.

The duties of the department chair and freestanding division director shall include:

1. Serve as the administrative officer of the department or freestanding division.
2. Inform faculty of information from the Provost and/or the Dean concerning personnel actions such as tenure, promotion, and reappointment and ensure compliance with the current UAB Faculty Handbook and Policies (the UAB personnel policies for faculty) and the SHRP School and Departmental Promotion and Tenure Guidelines.
3. Evaluate annually, each faculty member's performance in teaching, research/scholarship and creative activities and service (annual activity, annual reviews of performance and promotions committee reviews for candidates to document progress toward tenure and/or promotion.)
4. Maintain up-to-date administrative records as appropriate and in compliance with UAB Faculty Handbook and Policies, You and UAB and other UAB policies.
5. Require compliance by all faculty, staff and employed personnel in research or teaching related environments with the UAB Safety and Biosafety policies and handbooks concerning safety policies, laws, regulations and guidelines and ensure that all students are instructed in safety procedures for teaching and/or clinical situations.
2.2.4  THE FACULTY

2.2.4.1  COMPOSITION

The faculty is comprised of all persons holding any official faculty appointments in the School. The faculty ranks shall be professor, associate professor, assistant professor, instructor, lecturer and associate. The terms clinical, adjunct, part-time, temporary, irregular, visiting, and emeritus may qualify these ranks to denote different classifications of faculty status. In addition to the regular and other faculty classifications as defined in the current UAB Faculty Handbook and Policies, the academic programs and administration of the School maintain several hundred voluntary faculty appointments. The voluntary faculty may or may not be UAB employees and usually are not paid on the regular payroll of the School.

The term faculty shall hereinafter be in reference to the faculty governance of the School and faculty shall be defined as full-time regular faculty with a primary appointment in the School.

2.2.4.2  DUTIES

The duties of the faculty shall include:

A. Prescribe, within the guidelines established by the UAB and the appropriate professional accrediting bodies, the general standards for admission to, and completion of, the programs of the School;
B. Conduct the educational programs of the School, including continuing education;
C. Promote and participate in research and service activities as appropriate to the faculty member’s discipline and assignments;
D. Participate regularly in activities that will serve to maintain competencies in education and/or research in the respective disciplines; and
E. Recommend students as candidates for degrees and/or certificates as appropriate.
F. Recruit, advise and monitor practices to retain students admitted to the undergraduate and graduate programs offered by the School
2.2.4.3 MEETINGS

Regular meetings of the faculty shall be held at least twice a year at the call of the Faculty Affairs Committee (FAC). Special meetings of the faculty may be called by the FAC, by the Dean, or by written request of at least ten percent of the regular faculty members.

Notice and agenda must be distributed to the faculty at least five working days before the date of any meeting. For meetings related to discussion and voting on amendments to the faculty bylaws, the proposed amendments must be distributed two weeks prior to the date of the meeting.

2.2.4.4 DECISIONS

Decisions shall be made by majority vote of the full-time regular faculty members present and voting unless otherwise specified in these Bylaws.

2.2.4.5 QUORUM

Forty (40) percent of the full-time regular SHRP faculty with primary appointment, excluding clinical, adjunct, part-time, temporary, secondary, voluntary, lecturer, and emeritus, as of the date of any general meeting shall constitute a quorum for the transaction of general business.

2.2.4.6 PARLIAMENTARY AUTHORITY

The rules contained in the current edition of Robert’s Rules of Order shall govern the faculty and its committees in all cases in which they are applicable and are not inconsistent with these Bylaws.

2.2.4.7 AMENDMENT

These Bylaws may be amended at any called meeting by a two-thirds vote of eligible members present and voting, provided that written notice of the meeting and proposed amendments have been submitted to all of the faculty at least two weeks previously.
2.3 STANDING COMMITTEES

Standing committees shall be the Academic Affairs Committee (AAC) and Faculty Affairs Committee (FAC).

a. Standing committees represent the concerns of all official faculties affiliated with the School.
b. Faculty bylaws pertaining to standing committees are subject to review and approval of the faculty at a general faculty meeting.
c. Items of business at the program or department level are to be communicated directly to the appropriate standing committee by the Dean.
d. Any member of the faculty may present personnel policy or other issues of concern to the faculty directly to the Chair of the Faculty Affairs Committee.
e. Standing committees are advisory to the Dean and, therefore, present appropriate recommendations directly to the Dean.

2.3.1 ACADEMIC AFFAIRS COMMITTEE

2.3.1.1 FUNCTION

The Academic Affairs Committee (AAC) shall formulate recommendations as specified in the policies and procedures concerning the academic and continuing education programs in the School. Final decisions of the Academic Affairs Committee shall be in the form of recommendations to the Dean and require the Dean’s approval for implementation.

The functions of the Academic Affairs Committee shall be to review and send comments and/or recommendations to the Dean regarding:

A. New programs and major revisions or continuation/discontinuance of existing programs;
B. New course offerings and deletions of existing courses;
C. Continuing education programs;
D. General degree and certificate requirements of the School;
E. Scholastic requirements of the School;
F. Admission, probation, and suspension policies of the School;
G. Content of official publications such as the SHRP catalog, brochures, and other material as deemed appropriate; and
H. Other business as directed.

Policies and procedures that provide guidelines for the review process are included in the Policies and Procedures Manual of the Academic Affairs Committee and its subcommittees.
2.3.1.2 COMPOSITION

The Academic Affairs Committee (AAC) voting membership shall consist of full-time regular faculty members elected from academic departments and free standing divisions sponsored or co-sponsored by SHRP and one student member appointed by the SHRP Student Association. One ex-officio, non-voting member will be appointed by the Dean as his/her representative.

Elected terms shall be set up so that one-third of the elected faculty members shall be elected each year as described in the Academic Affairs Committee’s policies and procedures.

Each SHRP department will elect two representatives to serve on the AAC. The free standing division within SHRP may elect up to two representatives to serve on the AAC. Members may be represented by a proxy.

2.3.1.3 TERM OF MEMBERSHIP

Each member, except the student member, shall serve a term of three years and may be reelected. The student member shall serve a one-year term. The new members shall take office at the close of the first meeting of the academic year. A list of current committee members by program/division of representation and term shall be maintained in the Dean’s office and posted on the web page for the ACC.

2.3.1.4 VACANCY

Vacancies shall be filled using the elective process previously referred to in Section 2.3.1.2, Composition, and shall be for the un-expired term.

2.3.1.5 OFFICERS

The officers of the Academic Affairs Committee shall be the chair and vice chair.

2.3.1.5.1 QUALIFICATIONS

The chair shall be elected from those members of the committee who served on the committee for the year immediately preceding. The vice chair may be elected from newly elected members of the committee.

2.3.1.5.2 TERM OF OFFICE

The officers shall serve a one-year term and may be reelected. The chair and vice chair shall be elected at the first meeting of the fall term each year. The newly elected officers shall take office at the close of the meeting at which elected.
2.3.1.5.3 DUTIES OF OFFICERS

The chair shall call and preside at all regular and special meetings of the Academic Affairs Committee. The vice chair shall fulfill the duties of the chair in the absence of the chair.

2.3.1.6 MEETINGS

Regular meetings shall be held at least once per academic term with five days written notice. Additional meetings may be called by the chair of the committee or by a majority of the Academic Affairs membership upon request by a signed petition. All meetings will be open so that any SHRP faculty may attend.

2.3.1.7 DECISIONS

Decisions will be made by majority vote. Previous notice of a vote is required for items of business concerning new program proposals, review of programs already approved, major curriculum revisions, and any other items of business considered by the reporting committee or the committee chair to require previous notice.

2.3.1.8 QUORUM

A majority of the membership shall constitute a quorum.

2.3.1.9 STANDING SUBCOMMITTEES

Standing subcommittees shall be the Graduate Subcommittee, the Baccalaureate Subcommittee, the Continuing Education Subcommittee, and the Publications Subcommittee. The chairs of the subcommittees, appointed by the chair of AAC, shall be selected from the Academic Affairs Committee membership whenever possible. A subcommittee chair may be appointed from SHRP faculty as appropriate.
2.3.2 FACULTY AFFAIRS COMMITTEE

2.3.2.1 FUNCTION

A. The Faculty Affairs Committee (FAC) shall consider and make recommendations on all matters as described in Section 2.0 of the current online UAB Faculty Handbook and Policies, and as prescribed in the SHRP Faculty Bylaws. The committee, which has been charged with advising the Dean on appointment, promotion, or award of tenure of an individual. Only tenured faculty, regardless of rank, shall vote on initial appointments with tenure and award of tenure. Only faculty members, regardless of tenure status, at or above the rank to which the individual under consideration is to be appointed or promoted shall vote on such actions.

FAC is charged with advising the Dean on faculty related personnel actions as general advice and recommendations.

B. The FAC is charged with ensuring adequate faculty related personnel procedures in the School. Personnel procedures are prescribed in the UAB Faculty Handbook and Policies and the "You & UAB Handbook." The FAC must review and approve the school and departmental policies and guidelines concerning promotion and tenure. The term adequate implies that there shall be consistency across all of the departments in the school so that all faculty members are subject to the same policies concerning personnel procedures prescribed in these two UAB Handbooks.

All policies (school, department or any committee policies) must be consistent with and never less stringent than the current UAB Faculty Handbook and Policies-Section 2.6. All administrators shall comply with the current UAB Faculty Handbook and Policies concerning procedures for faculty appointment, reappointment, promotion of tenure as prescribed in Section 2.6." Before they are put into effect, school, library, and department policies must be approved in writing by the appropriate school Dean or Library Director and the Provost."

NOTE: The website for the current UAB Faculty Handbook and Policies is identified as the official version that contains any revisions that have been enacted/effective since the publication of the paper version of the current UAB Faculty Handbook and Policies.

For latest updates, see http://www.uab.edu/facultyhandbook
The website for the "You and UAB" Handbook is also considered the official and current version.

http://main.uab.edu/show.asp?durki=43608

The current UAB Human Resource Management Policy and Procedures Manual can be viewed at:

http://main.uab.edu/show.asp?durki=44370

C. The FAC is charged with the responsibility of ensuring that the SHRP Bylaws/Faculty Handbook, SHRP promotion and tenure guidelines, department and freestanding division promotion and tenure guidelines, and FAC Policies and Procedures are in compliance with the current UAB Faculty Handbook and Policies.

Annually, at the completion of the FAC Review Process, recommendations for revisions to the departmental guidelines shall be forwarded to the department chairs and recommendations for revisions to the SHRP guidelines for promotion and tenure shall be forwarded to the Dean.

D. The FAC is charged with review of each faculty appointment packet when a Department Chair, (search/selection committee report, Dean, Provost or President if the appointment is to be a school level appointment with tenure) recommends an initial faculty appointment with tenure.

This review shall occur prior to the School's offer of appointment with sufficient time for FAC review and appropriate involvement in the process.

The FAC members and/or faculty in the school with the required academic rank and tenure shall review each packet by following the policies prescribed in the FAC policies for the faculty appointment with tenure review process and the current UAB Faculty Handbook and Policies.

E. FAC is responsible for the definition of the procedure for the election of SHRP representatives to the UAB Grievance Panel. This election occurs every two years and is in compliance with the UAB Faculty Handbook and Policies. The nomination and election process in the SHRP shall be defined in the FAC Policies and Procedures Manual as prescribed in the UAB Faculty Handbook.

F. FAC is responsible for submitting a slate of SHRP faculty nominees for service as faculty senators according to the procedures defined by the Faculty Senate.

G. FAC is responsible for submitting a slate of nominees to the Faculty Senate for service as the School’s representative to the UAB Faculty Policies and Procedures Committee (FPPC.)
H. Additional FAC functions are outlined in the FAC Policies and Procedures-open SHRP committees-FAC.
http://main.uab.edu/show.asp?durki=27176

2.3.2.2 COMPOSITION

A. The FAC shall be composed of nine-or-twelve-month regular faculty with primary appointments in the School.

B. Membership shall be as follows: each department and freestanding division shall be entitled to one representative for each unit of five (or fraction thereof) current FACULTY with primary appointments as of August 1 each academic year.

Annually, five tenured professors shall be elected by the SHRP faculty to serve on the “Professor Rank Promotions Subcommittee of FAC.”

These elected tenured professors shall be elected members of FAC; however, if only elected to serve on this subcommittee, these subcommittee members shall function only when a professor rank packet is to be reviewed and voted on for recommendation to the Dean.

Any tenured professor elected as a departmental or free-standing division representative to FAC shall participate in all FAC activities in addition to service on the “professor rank promotions subcommittee.”

C. The representatives from each department and freestanding division shall be equally divided between tenured and non-tenured members. If a department has an uneven number of representatives, the final member from that department may be either tenured or non-tenured. If non-tenured faculty members are not available to serve, tenured-faculty members shall serve as representatives for the department. Tenured faculty are needed on the FAC so that packets for tenure can be reviewed and recommendations voted on according to the current UAB Faculty Handbook and Policies.

Non-tenured faculty can vote on promotion only packets if the non-tenured member of FAC has the rank that the candidate is seeking.

D. The FAC members shall be nominated and elected by a majority vote of the faculty within their respective departments or freestanding division according to Section IV of the FAC Policies and Procedures and the UAB Faculty Handbook and Policies, Section 2.6.1.

E. Department Chairs and SHRP administrators above department level are ineligible to serve as elected members.
F. A FAC member appointed by the Dean shall serve as an ex-officio, non-voting member and as the Dean's designee.

G. The immediate past chair of the FAC shall serve one-year as an ad-hoc non-voting member and function as an advisor to FAC and the FAC executive committee even if their official elected term to FAC has expired.

H. The SHRP representative elected by the SHRP faculty to the UAB Faculty Policies and Procedures Committee (FPPC) shall serve as an ad-hoc non-voting member of FAC if not concurrently a voting member of the FAC.

I. The SHRP representatives (two senators and two alternate senators elected by the SHRP faculty) to the UAB Faculty Senate shall serve as ad-hoc non-voting members of the SHRP FAC if not concurrently a voting member of FAC.

2.3.2.3 TERM OF MEMBERSHIP

A. The term of membership for each elected member shall be three years. The term shall be from October 1 of the first year to September 30 of the third year, or until a successor has been elected.

B. FAC members may be reelected from their department or freestanding division.

C. One-third of the members shall be elected each year. Newly elected members shall take office at the close of the October meeting.

D. At the October meeting outgoing and incoming members shall attend to assist in the transition and orientation of newly elected representatives to the FAC and all in attendance shall participate in the election of FAC officers for the new academic year.

E. When a FAC member is unable to attend a scheduled FAC meeting, he or she may designate a proxy for their vote from among other FAC members. All elected members are expected to attend and participate in FAC meetings so that their constituent faculty members are fairly represented in the deliberations by the FAC.

F. Occupants of non-tenured FAC positions who are awarded tenure during their term of membership must vacate the position by the next annual committee election so that a non-tenured replacement may be elected.

G. The Dean shall notify the FAC chair with the name of the person who will serve as the Dean's designee by October 1 of each year.
2.3.2.4 VACANCY

Vacancies shall be filled according to the faculty members' qualifications as previously stated in the Bylaws Section 2.3.2.2, Composition, and Section IV, elections of members in the FAC Policies and Procedures. The term of office shall be for the time remaining in the vacated term. Members elected by their constituent faculty to fill vacated terms shall take office immediately following their election.

2.3.2.5 EXECUTIVE COMMITTEE

The members of the executive committee of the FAC shall be the FAC Chair, the FAC Vice-Chair and the Chairs of FAC standing subcommittees as designated in the SHRP Bylaws Section 2.3.2.9. The Past Chair of the FAC shall serve as a non-voting, ad-hoc member of the executive committee.

2.3.2.5.1 OFFICERS' QUALIFICATIONS (CHAIR AND VICE CHAIR)

The Chair shall be elected from those tenured members of the FAC who served on the committee during the immediate past academic year.

The Vice Chair shall be elected from the tenured members who served on the FAC during the past academic year and who have a continuing term of service on FAC or from the newly elected tenured members of the committee.

2.3.2.5.2 OFFICERS' TERM OF OFFICE

The duly elected FAC officers shall serve a term of one year and may be reelected if the faculty member has remaining year(s) of their elected term of service on FAC. The Chair and Vice Chair shall be elected at the first FAC meeting (October) of the academic year following the election of new members each academic year. The newly elected officers shall take office at the close of the October meeting of the FAC. The election of FAC officers shall be in compliance with Section VI-election of FAC officers as prescribed in the FAC Policies and Procedures.

2.3.2.5.3 DUTIES OF FAC'S OFFICERS

A. The FAC Chair shall call and preside at all regular and special meetings of the FAC.
B. The FAC Chair shall perform the duties prescribed in the FAC Policies and Procedures.
C. The FAC Vice-Chair shall fulfill the prescribed duties of the Chair in the absence of the Chair and the duties outlined for the Vice Chair in the FAC Policies and Procedures.
2.3.2.6 MEETINGS

A. FAC meetings shall be held monthly except when a meeting is cancelled by the Executive Committee and with notification to the committee members.

B. The Chair or the Executive Committee shall call special FAC meetings when needed. The Chair must call a special meeting within seven days of receipt of a written request from at least one-third of the committee members.

C. Prior notice of any meeting must be given at least two working days before the meeting.

D. Any SHRP faculty member may attend any portion of a FAC meeting except those parts of meetings the Chair declares closed for discussion of confidential matters (e.g. review of promotion and tenure packets.)

E. The FAC may invite any person to attend any FAC meeting in order to provide appropriate information, comments, or suggestions for matters being discussed by the FAC. No invited persons (non-FAC members) may be in attendance for a FAC meeting when promotion and tenure packets are being discussed.

2.3.2.7 DECISIONS

A. Decisions by the FAC membership will be made by majority vote of members present.

B. Official votes by FAC shall require the presentation of written resolutions as official records for the FAC.

C. All FAC members shall vote on any topics before the FAC other than promotion and tenure decisions.

D. For promotion decisions, according to the current UAB Faculty Handbook and Policies, Section 2.6.1, only FAC members, regardless of tenure status, at or above the rank to which the individual under consideration is to be appointed or promoted shall vote on such actions.

For tenure decisions, only tenured faculty, regardless of rank, shall vote on such recommendation actions.

2.3.2.8 QUORUM

A. The quorum for each meeting of FAC shall be defined as the majority (50% of current membership plus one) of FAC's voting membership and a quorum shall be required for all official votes by FAC.

B. Two-thirds of the tenured FAC members with appropriate rank shall constitute a quorum for matters concerning appointment with tenure, tenure and promotion. Two-thirds of the FAC membership shall constitute a quorum for matters concerning promotion only packets for non-tenure earning candidate's packets.
2.3.2.9 STANDING SUBCOMMITTEES

Standing subcommittees of FAC shall include the Initial Faculty Appointment With Tenure Review Subcommittee, the Nominating Subcommittee, the Professor Rank Promotions Subcommittee and the Planning Subcommittee. The chairs and members of these subcommittees with the exception of the professor rank promotions subcommittee shall be appointed from the FAC membership by the FAC Chair and shall serve for a one-year term.

The Chair of the Professor Rank Promotions Subcommittee shall be appointed by the FAC Chair from the elected membership of the subcommittee or may be any elected tenured professor currently serving on the FAC.

The structure, function/duties and responsibilities of these standing subcommittees of the FAC shall be defined in the FAC’s Policies and Procedures.

2.3.2.10 AMENDMENT

Amendments to Bylaws for the FAC shall be made in compliance with the SHRP Faculty Handbook 2002, Section 2.2.7.

3.0 SHRP FACULTY POLICIES AND GUIDELINES

3.1 FACULTY APPOINTMENTS, PROMOTION, AND AWARD OF TENURE

The following information is presented in order that department chairs/freestanding division directors and all faculty members may be acquainted with the procedures and requirements for appointment to, or promotion within, the faculty of the School of Health Related Professions.

Each faculty member and academic administrator is urged to refer to the current UAB Faculty Handbook and Policies (Section 2.5 and 2.6) for material pertaining to appointment, promotion, and tenure of faculty members. The guidelines presented herein are intended to further clarify the material contained in the current UAB Faculty Handbook and Policies.

Criteria for faculty appointment, promotion, and the award of tenure are based on a faculty member’s training, experience, and activities, as well as the potential for continued growth, in (1) teaching, (2) scholarly activities including research and other creative activities, and (3) service. In accordance with the current UAB Faculty Handbook and Policies (Sections 2.5 and 2.6) school, departmental and free-standing division faculty policies and procedures shall be developed by the departmental chair/freestanding division director and departmental/freestanding division faculty in consultation with the Dean, and must be approved by the departmental/freestanding division faculty, department chair, freestanding division director, the FAC, the Dean, and the Provost.

Current and approved criteria for appointment, promotion, and tenure in the School will be distributed to current faculty when such documents are revised and to each new faculty member at the time of initial appointment.
The Dean makes administrative appointments in the School. Academic administrators are subject to the promotion and tenure guidelines from the department of his/her primary faculty appointment.

All statements concerning terms of appointment, promotion, and tenure award refer to faculty, except where otherwise noted. Refer to the current *UAB Faculty Handbook and Policies* for information pertaining to faculty status and rank.

3.1.1 GUIDELINES FOR FACULTY APPOINTMENT/RECRUITMENT

A. Search committee members are selected based upon unique needs and requirements associated with each faculty recruitment.
B. The department chair/freestanding division identifies potential members of each search committee by soliciting input from the department or freestanding division faculty and discusses with the Dean prior to making formal submission to the Dean.
C. Based upon recommendations from the Chair/freestanding division director, the Dean approves and makes the formal request to the proposed members of the search committee.
D. The School's Affirmative Action Officer serves as a member of each search committee within the School.
E. Academic appointments shall be based on a careful review of each candidate’s qualifications including:

1. Basic education;
2. Degrees achieved or equivalency (individual cases may be considered in relation to vocational training and experience);
3. Certification where applicable;
4. Experience in the field under consideration;
5. Teaching ability and experience;
6. Contribution to profession--offices, committees, etc.;
7. Research and publications;
8. Promise of growth; and
9. Ability as a team worker; acceptance of programmatic and School philosophy.

Guidelines for FAC review of faculty awarded tenure upon initial appointment are found in the Faculty Affairs Committee’s Policies and Procedures.

3.1.2 POLICY REGARDING TENURE EARNING TRACK AND EXTRAMURAL FUNDING OF FACULTY POSITIONS

In order to ensure fiscal responsibility and to maintain a fair procedure regarding the recruitment of faculty, it is the policy of SHRP administration to establish non-state funded positions as non-tenure earning. Therefore, when faculty recruitment is dependent upon extramural sources, this matter should be communicated to all applicants as well as in the letter of offer to the individual selected. In the event that state money does become available
and the department/program involved wishes to continue employment of the faculty person beyond the period of funding related to extramural sources, the department/program should recommend the conversion of the position to a state-supported position and request approval of the same from the Dean. Separate approval by the Dean and the Provost with a new letter of contract is required to place the faculty member in a tenure-earning track.

3.1.3 DEPARTMENTAL AND FREE STANDING DIVISION RECORDS FOR FACULTY

The Departmental Chairs and free-standing division director have the responsibility for maintaining an activity file for each faculty member in the academic unit and this file is to be updated at least once a year on the basis of information furnished by the chair/director and the faculty member.

Annual performance reviews are to be completed in compliance with directions from the Dean.

Annual reviews of progress toward either tenure and/or promotion are to be completed in compliance with the promotion and tenure guidelines for each department or free-standing division and the current UAB Faculty Handbook and Policies.

3.1.4. HOLIDAYS, VACATION, LEAVES, AND ABSENCES

Faculty actions concerning holidays, vacation and leaves shall be in compliance with the current UAB Faculty Handbook and Policies (Section 7.1-7.5.3) and the You & UAB Handbook.

The Faculty/Monthly Employee request for absence form as posted on the School's web page/faculty resources shall be used by all faculty members in the School.

3.1.5 GUIDELINES FOR FACULTY PROMOTION AND TENURE AWARD

By February 15 of each year, the department chair and/or the division/program director and the departmental promotion and tenure review committee will review any candidate's packet and prepare recommendations for promotion and/or the award of tenure. The department chair/freestanding division director forwards the candidate's packet to the Dean for submission to the FAC by March 1 of each year.

Statements in a faculty member's initial and revised letter of contract are to be addressed in the development of a candidate's packet submitted for review. Such requirements should be part of the departmental criteria for the candidate/faculty member to be held accountable for purposes of promotion/tenure.

Department chairs/freestanding division directors will annually review the records of faculty members within the department to make determinations for promotion, award of tenure or non-reappointment in accordance with the current UAB Faculty Handbook and Policies (Section 2.6.3.5, 2.6.4.1, 2.6.4.2, 2.6.4.3, and 2.6.4.4) and departmental or free-standing division promotion and tenure guidelines. This review should be scheduled to allow adequate time to submit the appropriate recommendations, or allow adequate notice as provided in the current UAB Faculty Handbook and Policies, should a decision be made not to reappoint an individual.
Recommendations for promotion and/or tenure award made by department chairs and departmental promotion and tenure review committees are reviewed by the FAC and the FAC will submit recommendations to the Dean of the School. These recommendations will be approved/disapproved by the Dean and appropriate individuals and the FAC are to be informed of the Dean's decision.

Faculty members are responsible for knowing that a request for promotion or tenure shall be in accordance with the department or freestanding division guidelines for promotion and/or tenure and the current UAB Faculty Handbook and Policies.

The department chair/freestanding division director shall announce to all faculty the time for discussion and preparation of packets is to be in compliance with the department's guidelines and at the prescribed time of the academic year based on the Provost's timeline and the approved promotion and tenure guidelines for the candidate's academic unit. Faculty on tenure earning track and non-tenure earning track faculty shall be aware of their readiness for the preparation of a packet based on their annual review of their progress toward tenure or promotion as prescribed in the current UAB Faculty Handbook and Policies (Sections 2.6.7 and 2.6.9.1)

In circumstances where a departmental chair/freestanding division director does not make such an announcement and a faculty member considers that an evaluation of the faculty member’s academic and professional qualifications and achievements is appropriate, the faculty member can initiate their packet and request for promotion by collecting the information in the manner prescribed by the Provost and departmental guidelines, and submitting it to the division/program director or the departmental promotion and tenure review committee for consideration.

If a faculty member is denied the opportunity to submit a packet in the department, then the faculty member should request assistance from the Affirmative Action Officer of the School.

The FAC, in exercising their advisory function to the Dean, shall review each candidates' packet in reference to the candidates' departmental/freestanding division promotion and tenure guidelines and criteria. The FAC makes recommendations in compliance with the FAC policies and procedures for the FAC review process of promotion and/or tenure packets (Appendix C of this SHRP Faculty Handbook.)

The FAC forwards their recommendations to the Dean. According to the current UAB Faculty Handbook and Policies -Section 2.6.8.2:

At the Dean's level, decisions can result in four possible outcomes:

1. the FAC makes a positive recommendation and the Dean concurs;
2. the FAC makes a positive recommendation and the Dean does not concur;
3. the FAC makes a negative recommendation and the Dean concurs;
4. the FAC makes a negative recommendation and the Dean does not concur.

If the outcome is number one or number four above, then the Dean notifies the FAC, the department chair, and the faculty member of his/her decision and then forwards his/her recommendation to the Provost. If the Provost does not concur, he or she shall notify the Dean, who shall, in turn, notify the appropriate parties in accordance with the procedure specified in the next paragraph.
If the outcome is number two or number three above, then the Dean notifies the FAC and the department chair of his or her decision, and the department chair notifies the departmental committee and the faculty member.

If a candidate who has been denied promotion and/or tenure does not agree with the decision, then the candidate should refer to Section 2.6.11 for the appeals process as prescribed in the current UAB Faculty Handbook and Policies.

No promotion is effective until the Dean has received the advice and counsel of the department chair/freestanding division director, the departmental promotion and tenure review committee and the FAC, as well as the approval of the Provost and the President.

3.1.5.1 CRITERIA FOR FACULTY PROMOTION AND TENURE AWARD

Refer to sections 2.5 and 2.6 of the current UAB Faculty Handbook and Policies for general statements concerning promotion and tenure criteria. The School guidelines, the departmental criteria for each of the School's departments and freestanding divisions and the FAC guidelines for review of candidates' packets are attached as appendices of this SHRP Faculty Handbook.

Such promotion and tenure guidelines are to be current and approved by the department chair/freestanding division director and the departmental/freestanding division faculty, in consultation with the Dean and must be approved by the departmental/freestanding division faculty, department chair/freestanding division director, the FAC, the Dean and the Provost in compliance with the Section 2.6.2 of the current UAB Faculty Handbook and Policies.

The administrative director/chair of each department or freestanding division is responsible for ensuring the currency of the guidelines for promotion and tenure for faculty in each department or freestanding division. The Chair or freestanding division director is to inform the FAC when any changes are made in the promotion and tenure guidelines by forwarding a revised document to the FAC for review.

The length of tenure earning period for faculty on tenure earning track is ten (10) years in the SHRP. For specific statements used to define a "tenure earning period" for a faculty member, see Section 2.6.6.4 of the current UAB Faculty Handbook and Policies.

3.2 RESIGNATION, TERMINATION, REAPPOINTMENT, NON-REAPPOINTMENT

Faculty members of the School are referred to Section 2.6.4 and 2.7 of the current UAB Faculty Handbook and Policies concerning these topics.
3.3 GRIEVANCES

A faculty member with a grievance in any matter other than dismissal proceedings should seek solution of the problem through the division/program director, the department chair, and the Dean of the School, as prescribed in the current UAB Faculty Handbook and Policies. In the event that circumstances do not permit following the recommended grievance procedures, the faculty member should seek guidance and counseling from the School’s Affirmative Action Officer. If unable to obtain a satisfactory resolution, the faculty member may then request that the Provost consider the grievance as prescribed in Appendix A Faculty Grievance Procedure in the current UAB Faculty Handbook and Policies.

A grievance may be defined as any controversy, dispute, or disagreement concerning the interpretation of the School's Faculty Handbook or the current UAB Faculty Handbook and Policies. Any aggrieved faculty member should first seek to resolve the grievance through the department chair or freestanding division director. A grievance shall be limited to those actions where the grievant can establish that they are entitled to relief concerning the violation of a right or privilege based on federal or state law, university policies or regulations, or commonly shared understandings within the academic community about the rights, privileges, and responsibilities attending university employment. No grievance, moreover, that grows out of or involves matters related to a formal proceeding for the termination with cause of a faculty member's employment, or that is within the jurisdiction of another standing faculty committee of the School or UAB falls within the definition of grievance herein defined.

3.4 CONSULTING PRACTICES

Faculty shall consult the current UAB Faculty Handbook and Policies (Section 3.5) for procedures concerning consulting outside UAB, consulting within UAB and for actions related to conflicts of commitment and conflicts of interest.

All faculty members in the School are to use the "Request for Approval of Faculty External Professional Activity" posted on the School's web page under faculty resources.

The SHRP faculty practices shall be in compliance with the UAB policies related to conflict of interest and conflict of commitment.

These UAB policies require that all faculty members report dollar amounts earned that exceed $10,000.
3.5 SHRP REORGANIZATION POLICY AND PROCEDURES

3.5.1 PROGRAM AND/OR TENURED FACULTY TERMINATION DECISIONS

The purpose of the SHRP Reorganization/Program Change Policy is to ensure adequate faculty involvement and input if a proposal for a (a) major reorganization of the School or one or more Departments or Divisions, or (b) major program change is made. A "major reorganization" is defined as a reorganization that affects the majority of the faculty (50% or more), tenured and non-tenured, in a particular Program, Division, Department or the School, with respect to reporting structure or the number of faculty. “Program change” is defined in Section 2.7.3.1 of the current *UAB Faculty Handbook and Policies*.

The primary goal of the procedures outlined is to provide the faculty the opportunity to provide input to administration as called for in Section 2.7.3.3 of the current *UAB Faculty Handbook*.

A second goal is to ensure that all faculty members are treated fairly and in accordance with the Policies and Procedures of the University, particularly with regard to the rights of tenure. This policy is meant to extend the basic University Policy (see current *UAB Faculty Handbook*, Section 2.7.3.) related to organizational changes that might result in a significant programmatic change, termination of a program and or termination of tenured faculty members.

Procedures:

1. A major reorganization of the School or one or more Departments or Divisions or a major program change is proposed by the President, Provost, Dean, or other source. A major reorganization is defined as a reorganization that affects the majority of the faculty (50% or more), tenured and non-tenured, in a particular Program, Division, Department, or the School with respect to reporting structure or the number of faculty. Program change is defined in Section 2.7.3.1 of the current *UAB Faculty Handbook*.

2. The SHRP Executive Committee (Dean, Assistant Deans, and Department Chairs) will meet with potentially affected Division and Program Directors to discuss (a) the rationale for the reorganization or program change, (b) the pros and cons of the proposal, (c) recommendations for refining the proposal, and (d) implications and impact on other Departments/ Divisions/Programs within SHRP.

3. A copy of the proposal will be forwarded to the Chairs of the SHRP Faculty Affairs Committee (FAC) and Academic Affairs Committee (AAC) for review by their respective committees. The committees will determine, by vote, as to whether or not the remaining steps outlined in the SHRP Reorganization/Program Change Policy and Procedure Statement (items 4-11) will be followed. The Dean will be notified of the decision.
4. The Dean or designee and the Department Chair(s) of the affected Department(s) will meet with Faculty from the Departments/Divisions/Programs affected by the reorganization or program change to discuss (a) the rationale for the reorganization or program change, (b) the pros and cons of the proposal, (c) recommendations for refining the proposal, and (d) implications and impact on other Departments/Divisions within SHRP. The Faculty may choose to prepare a written report for the Dean presenting the Faculty’s issues and recommendations. If such a report is prepared, it should be done so in a timely fashion and according to a time line mutually agreed upon by the Dean and the Faculty.

5. A joint meeting of the SHRP FAC and the SHRP AAC will be held to discuss (a) the rationale for the reorganization or program change, (b) the pros and cons of the proposal, (c) recommendations for refining the proposal, and (d) implications and impact on other Departments/Divisions within SHRP. Members of FAC/AAC may invite the Dean or representatives from the SHRP Executive Committee to this joint meeting. This meeting is necessary since (a) FAC is charged with advising the Dean “on faculty actions as general advice and recommendations and with the responsibility of ensuring adequate faculty personnel procedures in SHRP” and (b) AAC’s “functions include review and recommendation of new program and major revision or continuation/discontinuation of existing programs.”

6. The joint committee of FAC and AAC will determine whether a School-wide Faculty meeting is necessary. If deemed appropriate, the entire Faculty will meet to discuss (a) the rationale for the reorganization or program change, (b) the pros and cons of the proposal, (c) recommendations for refining the proposal, and (d) implications and impact on other Departments/Divisions/Programs within SHRP.

7. The joint committee of FAC and AAC will appoint a subcommittee to prepare a report that summarizes the joint committee’s views, the discussions from the School-wide Faculty meeting (if there has been one), and recommendations to the Dean. This report will be prepared in a timely fashion, in accordance with a time line that has been mutually agreed upon by the joint committee and the Dean.

8. The Dean and the School’s Executive Committee will meet to review the reports and recommendations that result from #3 and #6 above. These recommendations should be taken into consideration prior to the preparation of the final proposal.

9. The Dean will present the reorganization or program change proposal to the Provost and University Administration and, when approved, the reorganization or program change will be officially announced.

10. Appropriate School Administrators will meet with Faculty from the Departments/Divisions/Programs affected by the reorganization or program change to develop a plan for reassignment or out placement of the affected Faculty consistent with UAB Policy as outlined in the current UAB Faculty Handbook, Section 2.7.3.

11. An ad hoc committee of the SHRP Faculty Affairs Committee (FAC) and SHRP administrators will be appointed and charged with monitoring the reassignment or out placement of the affected faculty as part of the committee’s responsibility to ensure adequate faculty personnel procedures, that the rights of tenure are preserved, and that the procedures are consistent with UAB Policy as outlined in the current UAB Faculty Handbook, Section 2.7.3.
4.0 APPENDICES

Appendix A. School Process for Promotion and Award of Tenure

<table>
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<tr>
<th>Promotion and Tenure Guidelines Approval Documentation</th>
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The faculty members and Chairs of the Departments of SHRP developed these promotion and tenure guidelines to be in compliance with the 2000 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:___________________________________________________

B. Dean - School of Health Related Professions

   Dean Signature:__________________________________________
   Dean Printed Name:_______________________________________
   Date:___________________________________________________

C. Provost - University of Alabama at Birmingham

   Provost Signature:________________________________________
   Printed Name:____________________________________________
   Date:___________________________________________________

University of Alabama at Birmingham
School of Health Related Professions
The following statements on promotion and tenure serve to expand and clarify information in the 2000 *UAB Faculty Handbook and Policies* (Sections 2.4, 2.5 and 2.6) and the 2001 *SHRP Faculty Handbook* (Sections 3.1.3 and 3.1.3.1.)

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II. Overview of Promotion & Tenure Process
   A. Description of activities
   B. Timeline of activities after March 1 of each year
   C. Responsibilities of candidate, committees, program director/division director/chair, dean
   D. External 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
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V. Appendices
   A. UAB Faculty Promotion/Tenure Action Summary Form
   B. SHRP/FAC Promotion & Tenure Packet Review Process
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 2000 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 members shall be elected by the faculty of the department.

After the packet is submitted to the SHRP Dean for distribution, the materials in the packet are reviewed by the SHRP Faculty Affairs Committee (FAC). 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 2000 UAB Faculty Handbook, and has been approved by the SHRP faculty, FAC, SHRP Dean and UAB Provost.

II. Overview of Promotion & Tenure Process

A. Description of activities

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 packet 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 Chair forwards the packet (original and three copies) to the Dean’s office for distribution to FAC. The Dean forwards three copies of the packet 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

The process begins in the fall. The following spring, the candidate's packet is reviewed by a DRC, FAC, the Dean, and the Provost. The specific timeline prior to February 15 is determined by the department in which the candidate has a primary appointment.

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<thead>
<tr>
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<th>ACTIVITY</th>
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<tbody>
<tr>
<td>By February 15</td>
<td>• Chair forwards original and three copies of the packet to Dean for</td>
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<td></td>
<td>distribution</td>
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<td>• Candidate interacts with Dean's office to assure the inclusion of all</td>
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<td>required documents</td>
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<td>By March 1</td>
<td>• Dean forwards three copies of each packet to FAC Chair</td>
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<td>By April FAC Meeting</td>
<td>• FAC completes review process according to FAC P&amp; T Review Process</td>
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<td>(3rd Tuesday of</td>
<td>guidelines (Appendix B)</td>
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<tr>
<td>Month)</td>
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<tr>
<td>By May 1 (ASAP)</td>
<td>• FAC submits recommendations to Dean</td>
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<tr>
<td>By June 1</td>
<td>• Dean sends recommendations to Provost</td>
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<td>• Dean notifies Chair of recommendations</td>
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<td></td>
<td>• Chair notifies candidate of status</td>
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<td></td>
<td>• Dean notifies FAC of the Dean's recommendation for each packet</td>
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<tr>
<td>During June-</td>
<td>• Provost sends recommendations to President</td>
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<tr>
<td>September</td>
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<tr>
<td>By October 1</td>
<td>• Candidate notified of final decision.</td>
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C. Responsibilities of candidate, committees, program director/division director/chair, Dean

1. Candidate
   a. Upon initial appointment, review the 2000 UAB Faculty Handbook and policies, the 1996 (2001?) SHRP Faculty Handbook and departmental guidelines for promotion and tenure, including the appeals section (Section 2.6.11).
   b. Develop a packet of materials to support application for promotion.

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.
      8. Review and forward the candidate's packet to the Dean after reviewing the completed packet with the candidate.
      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 2000 UAB Faculty Handbook and Policies.
   b. Provide a letter of recommendation that is sent to the faculty member, Chair and Dean.

4. Departmental Review Committee (DRC)
   a. Review a candidate's packet using the department's P&T guidelines.
   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.
   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.
   d. Forward the candidate's packet to the Department Chair.

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

6. SHRP Dean
   a. Solicits letters form external reviewers for those departments with Dean role in the external review process.
   b. Receives candidate packets 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 - 2000 UAB Faculty Handbook and Policies, Section 3.3.5 SHRP Faculty Handbook)
   e. Notifies Chair of Dean's recommendations.
   f. Forwards packets to Provost except for any candidate's packet submitted for promotion from instructor to assistant professor. In this latter case, the Dean will submit a letter to the Provost requesting a faculty appointment at the assistant professor level for the candidate with the inclusion of whether the candidate is to be granted a faculty appointment as tenure earning or non tenure earning. The instructor to assistant professor packets will be reviewed within the school as all other candidate's packets.
   g. 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 2000 UAB Faculty Handbook and Policies.
D. External Reviewers/Process

1. Purpose

Section 2.5 of the 2000 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.

III. Preparation of Materials (packet)

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

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

The materials listed above should be placed in a one or two inch 3-ring binder to be forwarded to the Provost's Office. Additional supporting documentation may be submitted to the DRC and to the FAC; these materials should be placed in a separate notebook.

B. 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.

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 director or division director or chairs' letter should address the candidate's accomplishments toward the prescribed activities in the candidate's letter of contract.
C. 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 is to receive a copy of each of the letters or documents added by his/her program director or division director, department chair, the DRC and the three external reviewers.

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

B. Departmental Promotion and Tenure Guidelines

Note: See the appropriate following section for a specific department’s guidelines:

Department of Critical Care

Department of Diagnostic and Therapeutic Sciences

Department of Health Services Administration

Department of Nutrition Sciences

Department of Occupational Therapy

Department of Physical Therapy
A. Timeline for FAC Action

1. Packets received by March 1 and distributed to reviewers by March 5 (or by special arrangement with reviewers who are out of town but who will be able to complete the review process at the April FAC meeting.)

2. Reviewer reports will be presented to FAC at the April meeting by one of the three reviewers. Official voting by eligible FAC members shall occur and confidential records prepared.

3. FAC Chair submits letters documenting FAC actions to the SHRP Dean prior to May 1.

4. Flowchart for timeline:
   - Department Chairs Deliver Packets to Dean, for distribution to FAC by February 15
     ↓
   - Dean forwards 3 copies of each packet to FAC by March 1
     ↓
   - FAC Chair delivers packets to FAC reviewers within 5 working days
     ↓
   - FAC reviewers complete summary report by five working days prior to the scheduled FAC meeting (Third Tuesday of April)
     ↓
   - April FAC meeting - review of reports and voting by eligible members of the FAC on each candidate's packet
     ↓
   - FAC Chair prepares materials for each candidate's report to the Dean before May 1
B. Activities Completed by Faculty Affairs Committee

1. The FAC reviewers shall use the *2000 UAB Faculty Handbook and Policies* (sections 2.4, 2.5 and 2.6) and section 3.1.3 and 3.1.3.1 of the *SHRP Faculty Handbook* as the official UAB/SHRP policies concerning the promotion and tenure process.

2. Maintain confidentiality of FAC’s deliberations and recommendations. Members of FAC are not to divulge the names or any information about any candidates for promotion or tenure at any time during the process of FAC administering the reviews or at any time after the completion of the FAC’s reviews. FAC members are reminded that the P&T process is not completed with the FAC recommendations and FAC members do not have the right to release the names or confidential information in the packets about any candidate.

3. Avoidance of conflict of interest by recusing self from either the review process and/or the voting when a candidate's packet presents issues of conflict, nepotism or other personal factors that appear/do interfere with a fair and equitable review of a candidate's packet. At the time of assignment of the reviewers, each reviewer shall be asked by the FAC chair if they need to recuse self from being a reviewer for a specific packet. When a potential reviewer indicates the need to recuse self, then the FAC chair will contact another reviewer.

4. Review the promotion and tenure packets using the defined FAC process with the use of a specific department’s promotion and tenure criteria for a candidate’s packet.

5. Reviewers (primary, secondary, tertiary) collaborate to prepare a summary review of a candidate's packet with the summary review document submitted to the FAC chair and a verbal report presented to the FAC membership at the April meeting.
6. Eligible members of FAC vote on the recommendation from the review report for each packet. Eligible members are defined in the *2000 UAB Faculty Handbook and Policies* (p. 17) as "Only tenured faculty may vote on appointments and promotions that involve tenure. Only faculty at or above the rank to which the individual under consideration is to be appointed or promoted may vote on such actions."

Non-tenured members of FAC may vote on promotion only packets if the FAC member has the rank for which the candidate is seeking.

7. Voting shall be completed using a secret ballot process.

8. Submit by May 1 to the Dean a written letter stating the decision of FAC to "recommend or not to recommend" for each candidate's packet. The letter shall include the vote results and the rationale for the committee's recommendation(s) regarding requests for promotion or tenure. Attachments with the letter shall include the completed motion form and the ballots.

9. Prepare confidential minutes with the promotion and tenure votes/results/recommendations and "public" minutes with no votes/results/recommendations of the overall process of the meeting at which faculty promotion or tenure packets were discussed and recommendation decisions made by the membership of the FAC.

C. FAC Process

1. FAC Chair receives notification from the Dean by March 1 about the number of packets and the candidate's names so that the reviewers can be identified from the FAC membership.

2. FAC Chair identifies the eligible members of FAC (name, rank, tenure status) who can participate with the review process. Members of FAC must meet these eligibility requirements to be a reviewer for a packet:
   a. tenured to vote on tenure decisions
   b. at the rank or above the rank that the candidate is seeking
   c. not in the candidate's department

Non-tenured members of FAC can serve a reviewer for promotion only packets when the FAC member has the rank or above that the candidate is seeking.

3. FAC Chair determines potential reviewers for each packet by identifying FAC members who are NOT from the same department for which a packet has been received.
4. FAC Chair identifies the primary, secondary and tertiary reviewers and contacts each potential reviewer. The Chair asks each potential reviewer if they can complete the packet review within the prescribed timeline and whether or not there is any potential conflict of interest or need to recuse self from review of a specific packet.

5. After speaking confidentially with each potential reviewer and identifying the three reviewers for each packet the FAC Chair creates a table summarizing the candidates’ names, type of promotion, tenure or promotion and tenure, and the name of the primary, secondary and tertiary reviewers.

6. FAC Chair obtains the candidates' packets from the Dean's office. The Chair will complete a signature form to document the receipt of the packets from the Dean's office. The FAC Chair will obtain three copies of each packet with the materials including letters, a copy of the departmental review process and the department's promotion and tenure criteria. Each packet will be coded to assure return of each packet and to maintain confidentiality for the faculty. Each reviewer will be asked to sign a form of receipt from and return to the FAC chair for the packet they are to review. This will document who has which packet and also serve to assure the return of each packet. The FAC Chair is responsible for the distribution of packets to FAC reviewers and the return of all packets to the Dean's office.

7. When there are insufficient numbers of eligible members of FAC to serve as a reviewer, then the FAC chair shall communicate with qualified faculty in SHRP who are potential reviewers for a specific packet. This situation is most likely to occur related to a packet submitted for promotion to professor. In this case, the FAC chair shall ask possible professors with tenure and who have no conflict of interest to serve as a reviewer. These faculty members are serving as ad hoc reviewers and their review is submitted to the FAC. The eligible members of the FAC who are at the professor level with tenure then vote on the specific packet summary report.

8. Following the delivery of packets to the reviewers, the FAC chair will work with the FAC's administrative assistant to establish a process for FAC members who are eligible to vote on each specific candidate's packet, but who are not serving as a reviewer for a specific packet, to review such identified packets before the April FAC meeting. Candidate's packets will be available for voting eligible FAC members to review. These packets would be available for review in the Dean's office and not for sign out or distribution out of the Dean's office.
9. This process is to allow eligible FAC voting members to review a candidate’s packet before the April meeting and support his/her voting decision in addition to the review report from the FAC reviewers.

10. The reviewers are charged to review the packet to determine if the candidate’s packet documents achievement of the promotion and tenure criteria of a specific department. Reviewers are to review all letters and documentation in the packet and compare these documents with the criteria of the department.

11. The Provost’s office has requested that the packets be organized using the "UAB Faculty Promotion/Tenure Endorsement Form" and the candidate’s packet must be organized as follows:
   - Current curriculum vitae
   - Departmental, school-wide, and Dean’s reports/letters
   - Teaching evaluation materials (cafeteria reports, other)
   - Additional evidence of research productivity not reflected in the vitae
   - Additional service activities (internal and external to UAB) not reflected in the vitae
   - Reports by referees external to UAB (minimum of three)
   - Chair's annual review and pre-tenure and/or pre-promotion departmental review

   Any additional supporting documentation submitted by a candidate is to be retained in the school and not forwarded to the Provost’s office. The Provost’s office expects to see the requested materials in a standard one or two inch 3-ring binder.

12. Reviewers should plan to complete their review within two weeks of receiving the packet. If a reviewer has questions, they should first contact the primary reviewer, then if questions not resolved, the reviewer should contact the FAC chair and the chair will interact with the Dean (or designee) to attempt to obtain clarification about the reviewer’s questions.

13. Reviewers are to type their reviews. No review reports shall be typed by anyone other than the reviewers.

14. The reviewers review the packet using the specific department’s promotion and tenure criteria and prepare a summary review report outlining the criteria that have been accomplished and support the accomplishment with examples from the packet.

   The reviewers have the option to communicate via phone, email, or a called meeting in order to complete the summary report that is to be submitted to FAC.
15. The primary reviewer shall be responsible for obtaining the review comments from the second and third reviewers of the packet. The primary reviewer shall draft a summary review that represents the findings of all three reviewers. The format for the summary review shall include:

1. criteria and examples from the packet that document accomplishment of the criteria
2. delineation of the departmental criteria for excellence and activities supporting the accomplishment of such

All three reviewers should attempt to reach consensus for the summary report; however, if any reviewer determines that a minority opinion report is appropriate then such should be included in the review.

The summary review shall include the signatures of each of the three reviewers. The summary review is the official review for FAC. This review should be completed five working days before the April meeting of FAC.

16. The official review for a packet shall be presented at the April meeting of FAC by the primary reviewer. If the primary reviewer is not able to be present, the primary reviewer should notify the FAC Chair which reviewer will present the summary review.

17. For each candidate’s packet, the voting eligible membership of FAC shall vote on the summary report submitted by the reviewers. The FAC Chair must document the number of eligible members for each packet, the number of positive votes, the number of non-support votes, the number of abstaining votes and the eligible members absent and not voting (UAB FACULTY PROMOTION/TENURE ACTION SUMMARY FORM – PROVOST OFFICE.)

18. A secret ballot process shall be used for each candidate’s packet. If any candidate is a current member of FAC they will be asked to leave the FAC meeting during the time their packet is open for discussion. These members of FAC shall not be present for any voting or discussion about his/her packet and the candidate/current FAC member is not to know the FAC voting results prior to any other candidate’s packet in the P&T review process.

19. All FAC members at the April meeting who are eligible to vote will be asked prior to any voting to recuse themselves from voting for a candidate’s packet if for any reason there is a potential conflict of interest.

20. The FAC recorder shall count the secret ballots. The Chair and Vice Chair of the FAC shall confirm the votes for each candidate.
21. The FAC chair will obtain the count for each packet from the recorder. Only when a tie vote has occurred shall the Chair vote using a secret ballot and submit this vote to the official recorder.

22. The Chair will announce the results of the vote for each packet as either:
   a. FAC recommends for promotion, or promotion and tenure or for tenure only
   b. FAC does not recommend for promotion, or promotion and tenure or for tenure only

23. The secret ballots will be retained and forwarded to the Dean with the FAC letter for each packet.

24. All packets' materials shall be returned to the FAC Chair. Each reviewer will be asked to sign a tracking form to document the transfer of the packet. All packets shall be returned to the Dean's office by the FAC Chair and shall document by signature and date the return of each packet.

25. At the conclusion of all packet reviews and voting by FAC, the FAC members will be reminded by the Chair that the FAC meeting was a closed meeting with executive session as the format. No information discussed during the meeting is to be discussed outside of the meeting at any time. Action by FAC is only one step in the process for faculty review for promotion/tenure and FAC serves to make recommendations to the Dean.

To protect the integrity of the FAC, the peer review process and the members serving on FAC, confidentiality and privacy rights for all candidates must be honored by each FAC member at the April meeting. The FAC recorder assisting with the FAC process is to abide by the same confidentiality and privacy rights and obligations as the FAC members.

26. The FAC chair will work with the official recorder to develop the official minutes for the closed executive session and document the decisions made by FAC. A summary of minutes that can be posted on the FAC web page will serve as the open record shall be prepared and shall not contain any discussion about the packets or votes taken by FAC.
D. FAC Chair's report to Dean

The FAC Chair shall prepare a letter of decision (recommendation or not to recommend with rationale when needed) for each faculty member who has submitted a promotion and/or tenure packet for review. The decision and vote results including ballots of eligible voters (# for, # against, # abstaining, and # absent) for each packet shall be included with the individual letters forwarded to the Dean. These letters shall be submitted to the Dean as soon as feasible following the April FAC meeting but not later than May 1.