



# **The University of Alabama at Birmingham**

**Southern Association of Colleges and Schools Commission on Colleges  
Focused Report**

**January 2015**

## University Overview

The University of Alabama at Birmingham pursues the frontiers of education, research and health care within a bold, collaborative culture that strives to be first, best and one-of-a-kind.

Our story is one of remarkable growth in size, quality, reputation and impact. From humble beginnings as an extension center, UAB — which became an autonomous campus in 1969 — has grown to offer 137 degree programs in Arts & Sciences, Business, Dentistry, Education, Engineering, Health Professions, Medicine, Nursing, Optometry and Public Health.

We have helped transform Birmingham into a nexus of medicine, business, research and development with a thriving arts and cultural scene, and our 21st century campus channels all the energies and opportunities of its metropolitan home.

This dynamic living and learning environment inspires and nurtures achievement, social responsibility and enterprise, and UAB embodies a spirit of discovery that advances knowledge, solves real-world problems and drives economic development.

UAB's impact on education, health care and quality of life cuts across classes, cultures and continents into inner-city classrooms, rural clinics and far corners of the globe, and our highly diverse faculty and students are embraced as citizens of the world.

Our strategic plan, UAB21, is our pledge to prepare our students and community for the challenges of a new world economy: global literacy, biotechnology and biomedical science, energy, transportation, materials engineering, information technology, computing security and entrepreneurship. These goals are fueling record enrollments, attracting exceptional faculty and strengthening community partnerships.

We approach the future with the same audacious vision that led our founders to dream big dreams and commit to this mission: To educate, advance research and discovery, care for the sick, respond to the needs of our community and use knowledge to establish Alabama as a progressive economic center that can change the world.

## About this Report

This is the public version of the University of Alabama at Birmingham's Focused Report for reaffirmation of accreditation by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). This version does not contain reference documents that were supplied to SACSCOC, and links are not accessible.



## 2.8

### Faculty

The number of full-time faculty members is adequate to support the mission of the institution and to ensure the quality and integrity of each of its academic programs.

Upon application for candidacy, an applicant institution demonstrates that it meets the comprehensive standard for faculty qualifications

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Off-site Committee Comments

The University of Alabama Birmingham provides definitions of full-time faculty according to their tenure status, rank and assignment category. The University's mission is to be a research university and academic health science center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond. The number of full-time faculty is determined in each academic unit at the department or division level and is based on credit hour production, service, research productivity, state funding, and clinical demands. An annual review is completed to determine the need for additional full-time faculty. The decision to hire faculty to support the missions of the University, schools, and individual programs is made by the department chair, dean and provost. All professional programs are accredited by their discipline specific accrediting bodies, providing evidence that they meet national quality standards. Good evidence is provided regarding student satisfaction with faculty interactions and program quality.

However, it is impossible to determine from the material presented the number of full-time vs. part-time faculty in each academic program, by off-campus instruction site, and by mode of delivery. Data presented reflect the overall number of full-time and part-time faculty providing instruction to undergraduate, graduate and professional students, however, the reader is unable to determine the number of students distributed across each college to verify adequate number of faculty per program/school. Credit hour generation data were presented as a whole and not program/school specific. The mission of the University also incorporates research and service. Data presented provide evidence that full-time faculty are adequately supporting these initiatives.

### Institutional Response

In response to the Off-site Committee's review of Core Requirement 2.8, additional data are presented to demonstrate adequacy of full-time faculty in instruction.

### Faculty and Student Distribution by Department/Academic Program

As of October 1, 2013, the University employed 2,176 full-time faculty serving 18,568 undergraduate, graduate, and professional students. Faculty appointments are made at the department level, with some faculty serving in administrative roles at the department, school/college or university level. Student enrollment is reported in academic programs, which reside in departments, with few exceptions at the school/college level (in the case of multidisciplinary programs such as African American Studies in the College of Arts and Sciences). Some non-degree granting student classifications, such as Liberal Arts, may reside at the school/college level.

The data provided in [2013-2014 Enrollment and Faculty Distribution](#) demonstrate full- and part-time faculty count by department, student enrollment by academic program within department, student-to-faculty ratios at the school/college and department levels, and the number of degrees conferred. It should be noted that these numbers do not include irregular faculty (adjuncts, credentialed course instructors, and UAB staff members who also act as instructors) and graduate students who assist with recitations and laboratories. Student-to-faculty ratios are typically less than 20:1, with the Departments of Biology, Social Work, and Communication Studies being noteworthy exceptions that will be discussed below.

### Distribution by Instruction Site

In addition to the main campus, UAB has off-campus locations in Huntsville, Alabama and Montgomery, Alabama where students in the School of Medicine may receive training as a part of their degree requirements. (The Montgomery site was approved by the Alabama Commission on Higher Education in September 2013. Ten third-year medical students began taking classes there in May 2014.)

**Distribution of Faculty by Instruction Site (as of 1-Oct-2013)**

Site	Number of Full-Time Faculty	Number of Part-Time Faculty	Number of Students
Main Campus	2,146	70	18,497
Montgomery, AL	6	0	0
Huntsville, AL	24	1	71
Total	2,176	71	18,568

\* Faculty in Montgomery and Huntsville are listed in the UAB School of Medicine.

### Distribution by Mode of Delivery and Instructor Type

The [Course Count by Mode of Delivery and Instructor Type \(Fall 2013\)](#) for each department and school/college shows that regular, full-time faculty teach the majority of courses regardless of delivery mode in the preponderance of cases. These data exclude zero-credit sections, which are primarily laboratories, recitations, and experiential courses such as co-operative education courses. These activities are typically supervised by graduate students and staff. It also should be noted that each instructor-of-record for a course is counted. For example, a course with three faculty listed as instructors would be counted three times.

### Credit Hour Production by School/Academic Program

Adequacy of full-time faculty can also be demonstrated by examining credit hour production (CHP) by course level and instructor type. Overall, the majority of credit hours generated in the Fall 2013 semester were through courses taught by full-time faculty (73% of lower-level undergraduate, 86% of upper-level undergraduate, and 84% of graduate). [CHP by Course Level and Instructor Type](#) provides information for each school/college and department. UAB provides support for additional instructional personnel (irregular faculty and graduate teaching assistants), particularly at the lower level undergraduate level where numerous sections of general education/core curriculum courses are offered. Irregular faculty with expertise in areas of specialization are also utilized to supplement instruction in upper-level undergraduate and graduate courses.

### **Departments with High Student-to-Faculty Ratios**

The departments of Biology (48:1), Communication Studies (39:1), and Social Work (40:1) in the College of Arts and Sciences exhibit unusually high student-to-faculty ratios. Biology extensively utilizes graduate students to assist with laboratories and recitations. Communication Studies and Social Work use irregular faculty for lower level undergraduate courses (which are primarily general education/core curriculum). These instructors account for 61.6% and 36.8% of the CHP for Communication Studies and Social Work, respectively.

It should also be noted that new chairs from outside of UAB have recently joined the departments of Biology (Dr. Steven N. Austad), Communication Studies (Dr. Timothy Levine), and Social Work (Dr. David Pollio). It is anticipated that each will review course offerings, teaching loads, and staffing levels in concert with departmental and College of Arts and Sciences strategic planning processes.

### **Sources** (In Order of Appearance)

-  [Enrollment and Faculty Distribution by School Department 2013-2014](#)
-  [Course Count by Mode of Delivery and Instructor Type \(Fall 2013\)](#)
-  [CHP by Course Level and Instructor Type \(Fall 2013\)](#)

## 2.11.1

### Financial Resources

The institution has a sound financial base and demonstrated financial stability to support the mission of the institution and the scope of its programs and services.

The member institution provides the following financial statements: (1) an institutional audit (or *Standard Review Report* issued in accordance with *Statements on Standards for Accounting and Review Services issued by the AICPA* for those institutions audited as part of a systemwide or statewide audit) and written institutional management letter for the most recent fiscal year prepared by an independent certified public accountant and/or an appropriate governmental auditing agency employing the appropriate audit (or *Standard Review Report*) guide; (2) a statement of financial position of unrestricted net assets, exclusive of plant assets and plant-related debt, which represents the change in unrestricted net assets attributable to operations for the most recent year; and (3) an annual budget that is preceded by sound planning, is subject to sound fiscal procedures, and is approved by the governing board.

Audit requirements for applicant institutions may be found in the Commission policy entitled "Accreditation Procedures for Applicant Institutions."

### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

### Off-site Committee Comments

FY2010 – FY2013 audited financial statements and debt ratios provided indicate that the University of Alabama Birmingham does have a sound financial base and financial stability. Net position has increased the last several years. Even though state appropriations are decreasing, revenue gains in tuition and fees and other operating revenue has increased as well to compensate.

The September 30, 2013, audit report and management letter was provided; however, a statement of change in financial position of unrestricted net assets, exclusive of plant assets and plant-related debt was not provided.

The University of Alabama Birmingham provided evidence of a sound budget planning process; however, no evidence of governing board approval for the 2014 budget was provided.

### Institutional Response

Statements of changes in unrestricted net assets, exclusive of plant assets and plant-related debt, for fiscal years 2011, 2012, and 2013 are attached.

The Board of Trustees of the University of Alabama approved the UAB Operating Budget for FY 2014-2015 at their 19-Sep-2014 meeting, as shown in the [list of approved UAB-related resolutions](#). The [complete resolution](#), which demonstrates Finance Committee involvement, is also included.

### Sources (In Order of Appearance)

-  [2011 Changes in Unrestricted Net Assets excluding Plant and Debt](#)
-  [2012 Changes in Unrestricted Net Assets excluding Plant and Debt](#)
-  [2013 Changes in Unrestricted Net Assets excluding Plant and Debt](#)
-  [19-Sep-14 Board of Trustees Approvals \(Page 3\)](#)
-  [19-Sep-14 Board of Trustees Approvals \(Page 7\)](#)



### 3.2.13

#### Governance and Administration: Institution-related entities

For any entity organized separately from the institution and formed primarily for the purpose of supporting the institution or its programs: (1) the legal authority and operating control of the institution is clearly defined with respect to that entity; (2) the relationship of that entity to the institution and the extent of any liability arising out of that relationship is clearly described in a formal, written manner; and (3) the institution demonstrates that (a) the chief executive officer controls any fund-raising activities of that entity or (b) the fund-raising activities of that entity are defined in a formal, written manner which assures that those activities further the mission of the institution.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Off-site Committee Comments

The University of Alabama Birmingham has four affiliated entities – UAB Research Foundation (UABRF); UAB Educational Foundation (UABEF); UAB Diabetes Trust Foundation (UABDTF); National Alumni Society of UAB (Alumni Society). All entities, except the UABDTF, have the appropriate documents that clearly define operating control, legal authority, relationship, liability clarity, and demonstration that fundraising activities are defined and controlled by the chief executive officer.

UAB and the UABDTF are currently working on an affiliation agreement to more clearly demonstrate UABDTF's benefit to UAB and the educational, scientific, research and charitable activities that may be carried out by the University; detail the parties' relationship and the responsibilities of each party; clarify that each is a separate legal entity; and secure the UABDTF's agreement to abide by Board policy in regard to fundraising activities. Execution of that agreement by UABDTF is anticipated at the next board meeting in December, 2014.

#### Institutional Response

The affiliation agreement between UAB and the UAB Diabetes Trust Foundation (UABDTF) was fully executed in September 2014.

The Affiliation Agreement between the parties (1) further demonstrates the entity's existence is to benefit UAB and the educational, scientific, research and charitable activities that may be carried out by the University (Section 1); (2) details the extent of the parties' relationship and the responsibilities of each party (Sections 2 and 3); (3) clarifies the understanding between the parties that each is a separate legal entity (separate corporate existence cannot generally be disregarded for the purpose of liability) (Section 6.02); and (4) secures the UABDTF's agreement to abide by Board policy in regard to fundraising activities (Section 6.04.a).

#### Sources (In Order of Appearance)

 UABDTF Agreement (Page 1)
 UABDTF Agreement (Page 3)

### 3.5.4

#### Educational Programs: Undergraduate: Terminal degrees of faculty

At least 25 percent of the course hours in each major at the baccalaureate level are taught by faculty members holding an appropriate terminal degree—usually the earned doctorate or the equivalent of the terminal degree.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Off-site Committee Comments

For most programs at the baccalaureate level, at least 25 percent of the credit hours are taught by individuals holding a terminal degree. The programs in Clinical and Diagnostic Sciences and Nursing do not comply with this standard. For many individuals teaching in those programs, certifications and professional experience were cited as equivalent qualifications, particularly for intensive clinical courses.

#### Institutional Response

To address the Off-Site Committee's preliminary finding of non-compliance with Comprehensive Standard 3.5.4, course data for programs in Clinical and Diagnostic Sciences and Nursing are presented by type (clinical and non-clinical courses, with non-clinical further divided into traditional and online courses). These course designations are assigned in Banner, the student records system, by program staff.

#### Clinical Courses

Clinical training requirements are essential to the undergraduate programs in the Department of Clinical and Diagnostic Sciences and the School of Nursing. Approximately 15% of credit hours required for degrees in Nursing, Respiratory Therapy and Nuclear Medicine Technology and 10% for the B.S. in Medical Technology are clinical courses. (No courses in the B.S. in Biomedical Sciences curriculum are clinical.) As shown in the table below, a majority of these courses are taught by instructors without terminal degrees who possess current practical clinical knowledge.

#### Non-Clinical (Didactic) Courses

Data for the non-clinical courses offered by the Department of Clinical and Diagnostics Sciences and School of Nursing are presented in the table below. Didactic course offerings in traditional and online modes of delivery in the School of Nursing exceed the minimum requirement of 25% of credits taught by faculty with terminal degrees.

**Percentage of Undergraduate Credit Hours Taught by UAB Faculty with Terminal Degree, Fall 2013 and Spring 2014**

School/Department	Clinical		Non-Clinical (Didactic)						Degree	Degree offered online
	Non-Terminal	Terminal	Overall		Traditional Courses		Online			
			Non-Terminal	Terminal	Non-Terminal	Terminal	Non-Terminal	Terminal		
School of Health Professions										
Clinical and Diagnostic Sciences	100.0%	0.0%	79.9%	21.1%	74.7%	25.3%	100.0%	0.0%	BS <sup>1</sup>	No
School of Nursing										
Nursing	82.6	17.4%	53.8%	46.2%	74.0%	26.0%	34.2%	65.8%	BSN	No

<sup>1</sup> BS in Biomedical Sciences, BS in Medical Technology, BS in Nuclear Medicine Technology, and BS in Respiratory Therapy

Detailed analysis of course offerings in the curricula for the Bachelor of Science degrees in [Biomedical Sciences](#), [Medical Technology](#), [Nuclear Medicine Technology](#), and [Respiratory Therapy](#) are provided. When reviewed by program, Biomedical Sciences and Respiratory Therapy meet the requirement of 25% of coursework taught by faculty with terminal degrees. A majority of faculty who teach in the Medical Technology and Nuclear Medicine Technology programs hold the master's degree which is the highest degree in their respective fields. Additionally, these two undergraduate programs have received accreditation by their respective accrediting bodies.

#### Method

In line with SACSCOC guidelines, courses numbered 100-499 were included in the analysis, with the following exceptions:

- Courses fulfilling the general education requirement (these courses were identified by having an Area I-IV identifier in Banner Course Attributes, which indicates a general education requirement area at UAB)
- EH 091 – Introduction to College English and MA 098 – Basic Algebra
- Courses in the English language program which focus on English as a Second Language for students who do not meet TOEFL score requirements at the time of acceptance to the University

Data was prepared by:

1. Calculating the total credit hours generated in undergraduate courses during the review period.
2. Disaggregating data by course prefix and attached to department.
3. Disaggregating data further by online courses and traditional (non-online) courses.
4. Identifying the instructors of record for each course and their corresponding percent responsibility for the course.
5. Identifying the highest degree held by each instructor.

6. Identifying all instructors whose highest degree is the terminal doctorate or appropriate terminal masters-level degree.
7. Identifying the course format (online or not online).
8. Calculating the percentage of credit hours taught by those faculty members. For example, in courses where two professors shared instructional responsibility (50% and 50%), half of the generated credit hours were tied to one professor and half the other professor. Further, where one professor had a terminal degree and the second professor did not, the resulting credit hour percentages would be 50% taught by a terminal degree faculty and 50% taught by a non-terminal degree faculty.

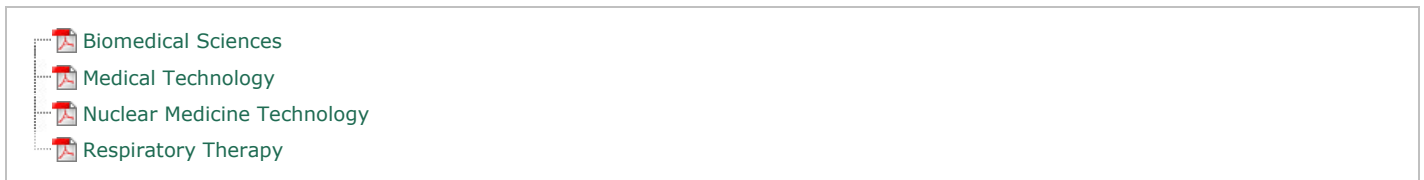
#### Definitions

For purposes of this calculation, discipline course hours are organized by teaching department and split between online and not online. Courses included are identified as contributing to an undergraduate major and excluding courses which are marked as fulfilling the general education requirement. In most disciplines, UAB defines the terminal degree as a doctorate-level degree, which includes the Ph.D., D.A., D.D.S., D.M.A., D.M.D., D.N.P., Ed.D., J.D., M.D., and O.D., as appropriate. In addition, the following masters-level degrees are considered terminal in their respective disciplines:

- M.F.A. - Master of Fine Arts
- M.L.S. - Master of Library Science
- M.S.W. - Master of Social Work
- Nuclear Medicine Advanced Associate (Master's level)\*
- M.S.C.L.S. - Master of Science in Clinical Laboratory Science\*
- M.S.M.L.S. - Master of Science in Medical Laboratory Science\*

(\* degrees have been added since submission of the Compliance Certification in September 2014)

#### Sources (In Order of Appearance)





### 3.7.1

#### Faculty: Faculty competence

The institution employs competent faculty members qualified to accomplish the mission and goals of the institution. When determining acceptable qualifications of its faculty, an institution gives primary consideration to the highest earned degree in the discipline. The institution also considers competence, effectiveness, and capacity, including, as appropriate, undergraduate and graduate degrees, related work experiences in the field, professional licensure and certifications, honors and awards, continuous documented excellence in teaching, or other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes. For all cases, the institution is responsible for justifying and documenting the qualifications of its faculty. (See the Commission guidelines "Faculty Credentials.")

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Off-site Committee Comments

The University of Alabama Birmingham provides evidence that the vast majority of the faculty providing instruction in their schools have the appropriate expertise for their assignment and meets standards for competence. There are some instances, however, in which the case for compliance was not made based on the evidence provided. It is not possible to verify the identified credentials and qualifications of faculty with the materials provided for review. Additional clarifying information is requested for the faculty listed (See Request for Justifying and Documenting Qualifications of Faculty).

#### Institutional Response

Additional information has been added for faculty cited in the Off-Campus Committee Report. Instructions for the faculty roster are given below.

#### Faculty Corrections

The following faculty members have been removed as instructor of record for the associated courses. Explanations are provided. Current instructors for these courses are included in the faculty roster.

Name of Faculty Member	Course(s) in Question	Comments
Gafarov, Ozarfar	PH 201L; PH 221L; PH 221R	These are laboratories and recitations that have been reassigned to a faculty member who is included in the faculty roster. Graduate students supervising recitations and laboratories are not instructors of record.
Nolan, Nicholas K	PH 202L; PH 222L	These are laboratories and recitations that have been reassigned to a faculty member who is included in the faculty roster. Graduate students supervising recitations and laboratories are not instructors of record.
Nored, Adam W	AST 111	This is a laboratory that has been reassigned to a faculty member who is included in the faculty roster. Graduate students supervising laboratories are not instructors of record.
Rhoades, Matthew W	PH 201L; PH 221L	These are laboratories and recitations that have been reassigned to a faculty member who is included in the faculty roster. Graduate students supervising recitations and laboratories are not instructors of record.
Skinner, Alex W	PH 202L; PH 222L; PH 351L; PH 352L	These are laboratories and recitations that have been reassigned to a faculty member who is included in the faculty roster. Graduate students supervising recitations and laboratories are not instructors of record.
Wolanyk, Nathaniel E.	AST 111; AST 112; PH 201R	These are laboratories and recitations that have been reassigned to a faculty member who is included in the faculty roster. Graduate students supervising recitations and laboratories are not instructors of record.
Clawson, Paula J.	MEDICINE 06-412: Immigration and Healthcare (Spring 2014 - Medicine) (16) (G)	This entry has been corrected to reflect the course director (William Coleman) rather than the grade contact. Dr. Coleman is included in the faculty roster.
Ferguson, Maria M.	MEDICINE 76-403V: Radiation Oncology Visiting Elective (Fall 2013 - Medicine) (4) (G)	This entry has been corrected to reflect the course director (Omer Burnett) rather than the grade contact. Dr. Burnett is included in the faculty roster.
Smith, Stephen R.	MEDICINE 06-402E: Basic Science Elective (Spring 2014 - Medicine) (0) (G) MEDICINE STP2038: Leadership Development in the Context of Medical Education (Fall 2013 - Medicine) (2) (G)	This entry has been corrected to reflect the course director (Annalise Sorrentino) rather than the grade contact. Dr. Sorrentino is included in the faculty roster.
Tuma, Carolyn M.	MEDICINE 48-403: Surgical Pathology (Spring 2014 - Medicine) (4) (G) MEDICINE 96-402: Surgical Pathology MS3 Elective (Spring 2014 - Medicine) (4) (G)	This entry has been corrected to reflect the course director (Margaret Brandwein-Gensler) rather than the grade contact. Dr. Brandwein-Gensler is included in the faculty roster.
Yoder, Stephen A.	AC 590: Advanced Topics in Accounting (Spring 2014) (3) (G)	The correct instructor for AC 590 is Lary B Cowart. His information has been included in the revised Faculty Roster, and Mr. Yoder has been included in the roster with AC 590 removed from his courses.

## Faculty Roster

- Faculty rosters have been organized to enable readers to view each instructor, courses taught, degrees used for credentialing, and additional qualifications. The faculty roster is organized alphabetically by discipline, which is determined by the academic program of the course. Thus, faculty may be assigned to multiple disciplines. The roster includes the following information for each faculty member serving as instructor of record during Fall 2013 and Spring 2014 semesters:
- Full name and employment status (full-time, part-time, or retired). Each name serves as a hyperlink to additional faculty information including title, department, and if currently teaching.
- This faculty information page also includes a list of all courses taught by the faculty member during the Fall 2013 and Spring 2014 semesters. This information includes course level (undergraduate or graduate) and course title. The identification for each course (CRN number) is a hyperlink to the course description from the 2014-2015 Undergraduate Catalog or the 2014-2015 Graduate Catalog. Team-taught courses are linked only with the course coordinator/instructor of record.
- Academic degrees earned by the faculty member include degree level, major discipline, degree granting institution, and year awarded as entered in the Faculty Database.
- Optional additional qualifications entered by the school or college, such as additional certifications, professional experience, and professional development are included. In cases where the discipline or degree level requirements are not met, additional qualifications are mandatory.
- In many health-related disciplines, a doctoral degree is not offered. In these cases, professional certification(s), licensure(s), and experience are most relevant in determining instructional qualifications.

## Credentials

Faculty Credentials Table
Faculty Roster Form
Roster by Department
Accounting and Finance
English Language and Culture
Government
Graduate School
Health Behavior
Health Services Administration
Honors Program; Mechanical Engineering
Human Studies
Information Engineering and Management
Medicine
Mgmt, Info Sys & Quant Methods
Microbiology
Mkt, Indust. Dist. & Economics
Music
Philosophy
Physics
Provost Office
Psychology
Theatre

### 3.7.2

#### Faculty: Faculty evaluation

The institution regularly evaluates the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenured status.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Off-site Committee Comments










The University of Alabama Birmingham evaluates the effectiveness of each faculty member annually. The policy, criteria, and procedures are established in the University Faculty Handbook and Policies and can also be found in the University Policies and Procedures Library. Annual evaluations are conducted by department chairs and vary according to the particular demands of individual departments, relative to teaching, research, and service. Evidence of adherence to this policy was not provided. However, the report stated that examples of completed evaluations will be available during the on-site review.




















































#### Institutional Response

Examples of annual evaluations from each school/college for a range of rank and tenure status are included below. It should be noted that each school/college has developed its own evaluation approach based upon reporting systems; balance among teaching, research, service, and clinical responsibilities; tradition; and governance.

School or College	Evaluations
Arts and Sciences	CAS Adjunct (Non-tenure Track) 1, CAS Adjunct (Non-tenure Track) 2, CAS Adjunct (Non-tenure Track) 3, CAS Adjunct (Non-tenure Track) 4, CAS Adjunct (Non-tenure Track) 5, CAS Instructor (Non-tenure Track) 1, CAS Assistant Professor (Untenured) 1, CAS Assistant Professor (Untenured) 2, CAS Associate Professor (Non-tenure Track) 1, CAS Associate Professor (Tenured) 1
Business	BUS Assistant Professor (Untenured) 1, BUS Associate Professor (Tenured) 1, BUS Associate Professor (Tenured) 2, BUS Professor (Tenured) 1
Dentistry	DENT Assistant Professor (Non-tenure Track) 1, DENT Associate Professor (Non-tenure Track) 1, DENT Associate Professor (Non-tenure Track) 2, DENT Associate Professor (Non-tenure Track) 3
Education	EDU Assistant Professor (Tenured) 1, EDU Associate Professor (Tenure Track) 1, EDU Professor (Tenured) 1
Engineering	EGR Instructor (Non-tenure Track), EGR Assistant Professor (Untenured) 1, EGR Assistant Professor (Untenured) 2, EGR Associate Professor (Tenured), EGR Professor (Tenured)
Health Professions	SHP Credentialed Course Instructor (Non-Tenure Track) 1, SHP Credentialed Course Instructor (Non-Tenure Track) 2, SHP Assistant Professor (Non-tenure Track) 1, SHP Assistant Professor (Untenured) 1, SHP Associate Professor (Tenured) 1
Medicine (with Joint Health Sciences)	MED Assistant Professor (Non Tenure Track) 1, MED Assistant Professor (Non Tenure Track) 2, MED Assistant Professor (Untenured) 1, MED Associate Professor (Tenured) 1, MED Associate Professor (Non Tenure Track) 1, MED Associate Professor (Non Tenure Track) 2, MED Associate Professor (Non-Tenure Track) 3, MED Associate Professor (Untenured) 1, MED Associate Professor (Untenured) 2, MED Associate Professor (Untenured) 3, MED Professor (Tenured) 1, MED Professor (Tenured) 2, MED Professor (Tenured) 3, MED Professor (Tenured) 4
Nursing	NUR Instructor (Non-tenure Track) 1, NUR Assistant Professor (Non-tenure Track) 1, NUR Associate Professor (Tenured) 1, NUR Professor (Non-tenure Track) 1
Optometry	OPT Assistant Professor (Untenured) 1, OPT Associate Professor (Non-tenure track) 1, OPT Associate Professor (Non-tenure track) 2, OPT Associate Professor (Tenured) 1, OPT Associate Professor (Tenured) 2, OPT Professor (Tenured) 1, OPT Professor (Tenured) 2, OPT Professor (Tenured) 3
Public Health	SOPH Assistant Professor (Untenured) 1, SOPH Associate Professor (Tenured) 1, SOPH Professor (Tenured) 1

#### Sources (In Order of Appearance)

 CAS Adjunct (Non-tenure Track) 1
 CAS Adjunct (Non-tenure Track) 2
 CAS Adjunct (Non-tenure Track) 3
 CAS Adjunct (Non-tenure Track) 4
 CAS Adjunct (Non-tenure Track) 5
 CAS Instructor (Non-tenure Track) 1
 CAS Assistant Professor (Untenured) 1
 CAS Assistant Professor (Untenured) 2
 CAS Associate Professor (Non-tenure Track) 1

-  CAS Associate Professor (Tenured) 1
-  BUS Assistant Professor (Untenured) 1
-  BUS Associate Professor (Tenured) 1
-  BUS Associate Professor (Tenured) 2
-  BUS Professor (Tenured) 1
-  DENT Assistant Professor (Non-tenure Track) 1
-  DENT Associate Professor (Non-tenure Track) 1
-  DENT Associate Professor (Non-tenure Track) 2
-  DENT Associate Professor (Non-tenure Track) 3
-  EDU Assistant Professor (Tenured) 1
-  EDU Associate Professor (Untenured) 1
-  EDU Professor (Tenured) 1
-  EGR Instructor (Non-tenure Track) 1
-  EGR Assistant Professor (Untenured) 1
-  EGR Assistant Professor (Untenured) 2
-  EGR Associate Professor (Tenured) 1
-  EGR Professor (Tenured) 1
-  SHP Credentialed Course Instructor (Non-tenure Track) 1
-  SHP Credentialed Course Instructor (Non-tenure Track) 2
-  SHP Assistant Professor (Untenured) 1
-  SHP Associate Professor (Tenured) 1
-  MED Assistant Professor (Non-tenure Track) 1
-  MED Assistant Professor (Non-tenure Track) 2
-  MED Assistant Professor (Untenured) 1
-  MED Assistant Professor (Untenured) 2
-  MED Associate Professor (Non-tenure Track) 1
-  MED Associate Professor (Non-tenure Track) 2
-  MED Associate Professor (Non-tenure Track) 3
-  MED Associate Professor (Untenured) 3
-  MED Associate Professor (Untenured) 1
-  MED Associate Professor (Untenured) 2
-  MED Professor (Tenured) 1
-  MED Professor (Tenured) 2
-  MED Professor (Tenured) 3
-  MED Professor (Tenured) 4
-  NUR Instructor (Non-tenure Track) 1
-  NUR Assistant Professor (Non-tenure Track) 1
-  NUR Associate Professor (Tenured) 1
-  NUR Professor (Non-tenure Track) 1
-  OPT Assistant Professor (Untenured) 1
-  OPT Associate Professor (Non-tenure Track) 1
-  OPT Associate Professor (Non-tenure Track) 2
-  OPT Associate Professor (Tenured) 1
-  OPT Associate Professor (Tenured) 2
-  OPT Professor (Tenured) 1
-  OPT Professor (Tenured) 2
-  OPT Professor (Tenured) 3
-  SOPH Assistant Professor (Untenured) 1
-  SOPH Associate Professor (Tenured) 1
-  SOPH Professor (Tenured) 1
-  MED Associate Professor (Tenured) 1
-  SHP Assistant Professor (Non-tenure Track) 1



### 3.9.2

#### Student Affairs and Services: Student records

The institution protects the security, confidentiality, and integrity of student records and maintains security measures to protect and back up data.

#### Judgment

Compliance  Partial Compliance  Non-Compliance  Not Applicable

#### Off-site Committee Comments

The University of Alabama Birmingham provided strong evidence that it complies with federal laws that govern the protection and confidentiality of student information related to the Family Educational Rights Privacy Act (FERPA). Those faculty and staff at the University needing access to student records are required to participate in FERPA training via an online course, take an online test demonstrating understanding of the policies, and acknowledge and accept a security warning statement. The University has appropriate security measures and backup systems through the Alabama Supercomputer Authority and maintains all records with integrity in accordance with the Public Universities of Alabama Functional Analysis and Records Disposition Authority (RDA). Regular data backups are conducted to protect records and, further, all data is transmitted in either an encrypted or encoded manner for further protection.

While patient records are included as a category of student records in the University's Records Retention Policy, there is no evidence of HIPAA compliance related to the security, confidentiality, and integrity of these records.

#### Institutional Response


The [UAB Records Retention Policy](#) addresses a wide range of records generated, received, or maintained by the institution, which have been divided into ten categories:

- Administrative
- Athletics
- Student Education
- Fiscal
- Legal
- Personnel
- Public Relations
- University Police
- Conducting Research
- Patient Records

Although student educational records and patient records are both addressed by the policy, each type of record is distinct in terms of retention and access. Patient records are not a category of student records.

Furthermore, the [UAB Student Records Policy](#) defines the educational record as "any records, files, documents, and other materials that contain information directly related to a student and which are maintained by UAB or a party acting for UAB." This policy [specifically excludes documentation](#) related to a treatment of a student from his/her education record.

#### Sources (In Order of Appearance)

-  [Records Retention Policy \(Page 1\)](#)
-  [Policies and Student Records \(Page 3\)](#)



### 3.13.1

#### Policy Compliance: Accrediting Decisions of Other Agencies

**Applicable Policy Statement.** Any institution seeking or holding accreditation from more than one U.S. Department of Education recognized accrediting body must describe itself in identical terms to each recognized accrediting body with regard to purpose, governance, programs, degrees, diplomas, certificates, personnel, finances, and constituencies, and must keep each institutional accrediting body apprised of any change in its status with one or another accrediting body.

**Documentation:** The institution should (1) list federally recognized agencies that currently accredit the institution or any of its programs, (2) provide the date of the most recent review by each agency and indicate if negative action was taken by the agency and the reason for such action, (3) provide copies of statements used to describe itself for each of the accrediting bodies, (4) indicate any agency that has terminated accreditation, the date, and the reason for termination, and (5) indicate the date and reason for the institution voluntarily withdrawing accreditation with any of the agencies.

#### Judgment

Compliance    Partial Compliance    Non-Compliance    Not Applicable

#### Off-site Committee Comments

All academic programs eligible for specialized accreditation are accredited and in good standing. The University of Alabama Birmingham provided a table with each accrediting body, the date of the next review and for some programs, links to copies of statements used to describe itself for an accrediting body. However, statements were not included for the medical psychology program, music, theater, dietetic internship or School of Public Health. No sample documents notifying SACSCOC of accrediting decisions were included in the documents provided.







#### Institutional Response

The primary manner that UAB describes itself with regard to federally recognized accrediting agencies and other accreditors is the annually-updated *Facts & Figures*. The federally recognized accrediting agencies have been highlighted in the *Facts & Figures 2013-2014*. UAB may also describe its accreditation status in catalogs and on websites. Web sources showing accreditation status for the five programs cited by the Off-Site Committee are shown on the table below.

Accredited Program or School	Date of Last Accreditation Review	Federally Recognized Accrediting Agency	Termination Action or Withdrawal	Other Descriptions of Accreditation Status
Medical Psychology	2007	American Psychological Association	No	Accreditation - Medical Psychology
Music	2008	National Association of Schools of Music	No	Accreditation - Music
Theatre	2009	National Association of Schools of Theatre	No	Accreditation - Theatre
Dietetic Internship	2008	Accreditation Council for Education in Nutrition and Dietetics	No	Accreditation - Dietetics
School of Public Health	2009	Council on Education for Public Health	No	Accreditation - School of Public Health

UAB has not been required to notify SACSCOC of accrediting decisions since the institution has not had accreditation terminated nor has it voluntarily withdrawn accreditation from a federally recognized agency.

#### Sources (In Order of Appearance)

-  Facts and Figures (Accredited) (Page 20)
-  Accreditation - Medical Psychology
-  Accreditation - Music
-  Accreditation - Theatre
-  Accreditation - Dietetics (Page 2)
-  Accreditation - School of Public Health