

**University of Alabama at Birmingham
School of Medicine
Guidelines for Faculty Personnel Actions**

Revised August 2015

This manual has been developed for the use of School of Medicine (SOM) administrators who are administratively responsible for faculty members within their department. It is our hope the information contained in this manual will provide the user with a precise and quick reference tool for processing various faculty personnel actions.

The information and procedures contained herein are intended as internal guidelines to assist SOM administrators in processing faculty personnel actions. Nothing contained herein is intended to alter, amend, or modify in any way the status of current policies or rules of the Board of Trustees of the University of Alabama. The information and/or procedures contained in this manual are subject to change by the University Administration at any time.

If you have any questions regarding any of the information contained in this manual please do not hesitate to call me at 934-3471

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HR Manager
Sr. VP and Dean's Office
School of Medicine

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Section 1: Summary for Initial Primary Appointments

Documentation Required

Approval Matrix According to Rank/Tenure Status

The appointment process for regular status faculty can be broken down into three basic steps:

1. Recruitment
2. Phase I
3. Phase II

Within each of the three basic steps there are certain requirements that must be met before proceeding to the next step.

Following is a brief summary of each of the steps and the requirements. Please see each section listing detail, definition, and/or example.

Documentation Required

Step One – Recruitment

1. Compensation/Faculty Recruitment Request (FRR) Form
2. Proposed advertisement (will be uploaded into the FRR Form)

Step Two – Phase I - Starting the Appointment Process

1. Copy of approved FRR Form
2. Copy of advertisements that have been published (one issue of two major publications, two issues of one major publication, one issue of a major publication and one website, or two websites.)
3. Appointments at the rank of Associate Professor or Professor require an Appointment Action Summary Form

NOTE: This form records the votes and approvals from the Prior Review process. It will be used for SOM purposes only for Associate Professor (NTE and TE) and Professor (NTE and TE). For faculty appointments to Associate Professor and Professor, tenured, the form will also be forwarded to the Provost's Office.

4. For tenured or tenure earning faculty – a letter from the Chair detailing the area the candidate will teach and the way the candidate's area of research and/or scholarship

relates to the work of other faculty or contributes to institutional priorities (may be included in the letter of offer)

For non-tenure earning faculty – a letter from the chair detailing a two to four year plan including identification of resources (may be included in the letter of offer)

5. Faculty Practice Form if the candidate selected is to be involved in any clinical practice. Candidates are responsible for sending the completed, notarized form to the Dean's Office. This form must be on file in the Dean's Office prior to approval of Phase II proposal.
6. Checklist for Recruitment and Employment
7. Faculty Recruitment Experience Report Form
8. Copy of the letter of offer signed by Division Director, Center Director, and Chair(s) as applicable
9. UAB Compensation Approval Recommendation Form should the proposed salary be above the University cap
10. Standardized Curriculum Vitae
11. Send appointment proposals to SOM Dean's Office – SOM (FOT 12th Floor).

Step Three – Phase II - Finalizing the Appointment

1. Completed Checklist for Recruitment and Employment
2. Letter of offer signed by the candidate
3. Faculty Data Form (FDF)
4. ACT Document
5. Copy of I-9 Form (original should be sent directly to Records)
6. Original Terminal Degree Transcript

NOTE: Original terminal degree transcript and, if degree earned from foreign institution, evaluation of credentials by an outside agency, AMA verification, or ECFMG certification must be on file in the Sr. VP and Dean's Office.

**UAB School of Medicine / Joint Health Sciences
Document Requirements for Initial Primary Appointments**

	Instructor/ Fellow	Instructor NTE	Asst Prof NTE	Asst Prof TE	Assoc Prof NTE	Assoc Prof TE	Assoc Prof Tenured	Prof NTE	Prof TE	Prof Tenured
Faculty Recruitment Request		√	√	√	√	√	√	√	√	√
Advertisement(s)		√	√	√	√	√	√	√	√	√
Faculty Practice Form										
Appt. Action Summary Form*					√	√	√	√	√	√
Chair Letter (may be included in letter of offer)		√	√	√	√	√	√	√	√	√
Checklist		√	√	√	√	√	√	√	√	√
Faculty Recruitment Experience Report		√	√	√	√	√	√	√	√	√
Letter of Offer	√	√	√	√	√	√	√	√	√	√
Salary Exception Form										
CV	√	√	√	√	√	√	√	√	√	√
Faculty Data Form	√	√	√	√	√	√	√	√	√	√
ACT Document	√	√	√	√	√	√	√	√	√	√
I-9 Form (if new appt.)	√	√	√	√	√	√	√	√	√	√

**UAB School of Medicine / Joint Health Sciences
Approval Matrix for Initial Primary Appointments
(continued)**

	Instructor/ Fellow	Instructor NTE	Asst Prof NTE	Asst Prof TE	Assoc Prof NTE	Assoc Prof TE	Assoc Prof Tenured	Prof NTE	Prof TE	Prof Tenured
Department Chair	√	√	√	√	√	√	√	√	√	√
Prior Review – Department Committee					√	√	√	√	√	√
Prior Review – Faculty Council					√	√	√	√	√	√
Dean SOM as appropriate	√	√	√	√	√	√	√	√	√	√
Provost	√	√	√	√	√	√	√	√	√	√
President							√			√
Budget HRM Records Payroll										

Section 2: Procedures for Initial Primary Appointments

Step 1 – Recruitment Process

Requesting Approval to Recruit

Advertising

Prior Review and Approval Requirements According to Rank and Tenure Status

Documentation Required for Prior Review Expeditious Review Requests

Assignment Category – Documentation Required

Step 2 – Phase I (Starting the Appointment Process)

Submission and Documentation Required

Step 3 – Phase II (Finalizing the Appointment Process)

Submission and Documentation Required

Step One - The Recruitment Process

Requesting Approval to Recruit

Prior to beginning any recruitment procedures for new or vacant regular status faculty positions within your department it is necessary to seek approval and/or permission to do so from the Dean and Provost as follows:

1. Submit a completed electronic FRR Form accompanied by the proposed advertisement (uploaded into the FRR Form) for the position to the SOM Sr. VP and Dean's Office.

NOTE: The distribution of effort must coincide with the dollar amount for each category (If 50% effort is research, 10% effort is administrative, 20% effort is clinical, 20 % teaching with a total salary of \$200,000, Grants/Contracts should show \$100,000, UAB/State should show \$60,000 – teaching plus administrative, and HSF Transfers, Hospital, VA, or Other should show \$40,000).

2. Based on the information provided on the FRR Form, the Dean's Office will approve or disapprove the request. Based on the information contained in the proposed advertisement, the position will be reviewed by the School's Affirmation Action Officer and then forwarded to the Provost's Office. If approved the department and Dean's Office will receive notification electronically. If the request is disapproved at any administrative level the department will be notified.
3. After the department has received permission to recruit from the Dean and Provost the department may begin advertising for the position.

NOTE: If an individual has not been identified for the position within a 24-month period the position will be closed out. However, the department may request a renewal or extension of the position in order to continue actively recruiting. To do so the department should resubmit an email to the appropriate contact in the Provost Office indicating any changes that have occurred since the request was initially submitted and approved, particularly in funding and/or space availability.

Approved renewals are applicable for an additional 24-month period. As such, if an individual has not been identified for the position within the 24-month renewal period, all administrative approvals for the position will be considered expired and the position will be closed.

Should it be necessary to continue to actively recruit for this position beyond this four-year period, the department must submit a new FRR Form for the position. The new request to recruit should be submitted for review and approval as outlined above.

Advertising for a Faculty Position

Regardless of rank or whether the position is newly created or fills a vacancy, the position must be advertised appropriately to meet Federal Equal Employment Opportunity Regulations and Affirmative Action requirements.

To comply with these regulations and requirements:

1. Positions must be advertised for 30 days in:
 - a. Two (2) issues of one appropriate scientific and widely distributed journal
or
 - b. One (1) issue of two (2) separate appropriate scientific and widely distributed journals
or
 - c. One (1) issue of an appropriate scientific and widely distributed journal and one (1) website
NOTE: The SOM website does not meet the Federal Equal Employment Opportunity Regulations and Affirmative Action requirements
or
 - d. Two (2) websites
NOTE: The SOM website does not meet the Federal Equal Employment Opportunity Regulations and Affirmative Action requirements
2. Copies of the proposed advertisement must accompany the original request to recruit.
3. These advertisements may be renewed after two (2) years if the position has not yet been filled or a request for a 2-year extension must be made.

NOTE: Other forms of communicating the availability of a position within the department such as letters to deans, chairs, administrators and/or electronic bulletin boards are optional. Such options, however, will not be considered as complying with Federal Equal Opportunity Employment regulations or Affirmative Action requirements.

Affirmative Action goals may be more readily achieved if you contact the Office of VP Equity and Diversity.

Advertisements should include the following statements:

“UAB is an [Equal Opportunity/Affirmative Action Employer](#) committed to fostering a diverse, equitable and family-friendly environment in which all faculty and staff can excel and achieve work/life balance irrespective of, race, national origin, age, genetic or family medical history, gender, faith, gender identity and expression as well as sexual orientation. UAB also encourages applications from individuals with disabilities and veterans.

A pre-employment background investigation is performed on candidates selected for employment.”

Clinical recruiting:

In addition, physicians and other clinical faculty candidates, who will be employed by the University of Alabama Health Services Foundation (UAHSF) or other UAB Medicine entities, must successfully complete a pre-employment drug and nicotine screen to be hired.

Prior Review and Approval Requirements According to Rank and Tenure Status

Rank and tenure status determine whether or not the candidate you have identified for the position will need to be reviewed and/or approved by the Faculty Council prior to Step Two. The review and approval process by Faculty Council usually takes two to three weeks from the time the proposal is received in the Dean’s Office. For further information on rank and criteria see the UAB Faculty Handbook (<http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx>)

Exception: The spouse of a newly recruited department chair can be hired into a recruited faculty position without a Prior Review. These proposals should be submitted with a combined Phase I and II packet regardless of rank and tenure status.

Instructor Non-Tenure Earning (NTE)

Candidates offered a position at this rank and tenure status do not require any prior review or approval over and above departmental review and approval as established by UABSOM guidelines for appointment and promotion.

NOTE: Candidates hired at the Instructor rank can only be hired as NTE.

Assistant Professor Tenure Earning (TE) or Non-Tenure Earning (NTE)

Candidates offered a position at this rank and tenure status do not require any prior review or approval over and above departmental review and approval as established by UABSOM guidelines for appointment and promotion.

Associate Professor or Professor Non-Tenure Earning (NTE), Tenure Earning (TE), or Tenured (T)

Candidates offered a position at these ranks and tenure status must receive prior review and approval from:

1. Departmental Committee
2. Chair
3. Faculty Council
4. Dean

Documentation Requirements for Prior Review

Documentation Required:

1. Appointment Action Summary Form with departmental committee's and Chair's recorded votes
2. Departmental committee's written report including assessment of the candidate, his/her strengths and weaknesses, the committee's recommendation
3. Chair's written statement in support/non-support of departmental committee's recommendation
4. If the candidate will be tenure earning or tenured, the Chair is required to describe the area in which the candidate will be expected to teach, the way in which the candidate's area of research and/or scholarship will relate to the work of other faculty and/or contribute to institutional priorities.

If the candidate is to be non-tenure earning the Chair is required to provide a two (2) to four (4) year plan identifying resources which will facilitate the professional development of the faculty member.

5. Six (6) letters of support, three (3) of which must be from reviewers external to UAB. Needs to be from Associate rank or higher and state rank, tenure status, and area(s) of excellence (1 for non-tenure earning and 2 for tenure earning or tenured). For example, "I understand that I am evaluating Dr. X for appointment at the rank of _____, ___ tenure ___, on the basis of excellence in _____."
6. Standardized Curriculum Vitae
7. Teaching evaluation – The required letters of support should, when possible, include colleague evaluations of teaching credentials, experience, and/or scholarly activities
8. Associate Professor – Three (3) major reprints
Professor – Five (5) major reprints

Submit Proposal as follows:

Send original proposal and one (1) PDF copy to the appropriate Dean's Office HR contact for your department - SOM (FOT 12th Floor) for review. The appointment action summary form will be returned to the initiating department indicating approval/disapproval of proposed appointment.

Expeditious Review for Appointments at the Rank of Associate Professor or Professor with Award of Tenure

In some instances, the Department Chair may find it necessary to request an expeditious review of a potential candidate, i.e. if the candidate being recruited has received another offer. An expedited review can usually be completed within one week.

A Department Chair may request an expedited review under such extreme circumstances only if the potential candidate is to be offered a tenured position at the rank of Associate Professor or Professor. Further, the candidate must hold a tenured position at the respective associate professorial or professorial rank at their current institution.

To request an expeditious review:

1. The Chair should provide a written request for expedited review submitting it for approval by the Dean and the Chair of the Faculty Council.
2. Provide evidence of continuing competence (documented by at least three letters of reference) and three telephonic references (documented in writing) for the record. Three of the references must be from persons outside UAB.

Expedited appointments will not apply to any individual being considered for a tenured position at a rank higher than the academic rank held at their current institution.

Assignment Category – Documentation Required

1. Full-Time Regular (01)

Complete Phase I and Phase II proposals required

- a. Faculty Data Form
- b. Standardized Curriculum Vitae
- c. Signed letter of offer
- d. Original terminal degree transcript **and, if degree earned from foreign institution**, evaluation of credentials by an outside agency, AMA verification, or ECFMG certification must be on file in the Sr. VP and Dean's Office.
- e. ACT document
- f. If candidate will be engaged in the practice of medicine or any other clinical practice, the candidate must complete and return the original Faculty Practice Form signed and notarized to the Dean's Office

These appointments must be approved by the Division Director/Chair, Dean, Provost and President. The proposals may be submitted at any time during the year. The faculty appointed to Instructor from Research Associate or Postdoc cannot be promoted beyond the rank of Instructor unless the recruitment process is done for an Assistant Professor and the faculty member applies for the position. If the faculty member is qualified and selected for the position Phase I and II proposals must be submitted as with any other faculty appointment.

2. Part-Time Regular (03)

Complete Phase I and Phase II proposals required

3. Full-Time Temporary (EEO/AA not required) (02)

- a. Faculty Data Form
- b. If candidate will be engaged in the practice of medicine or any other clinical practice, the candidate must complete and return the original Faculty Practice Form signed and notarized to the Dean's Office
- c. Signed letter of offer indicating acceptance of position and outlining expectations/restrictions
- d. Standardized Curriculum Vitae

- e. ACT document
 - f. I-9 Form
 - g. Original terminal degree transcript **and, if degree earned from foreign institution**, evaluation of credentials by an outside agency, AMA verification, or ECFMG certification must be on file in the Sr. VP and Dean's Office.
 - h. Email confirmation that background check is clear or copy of email requesting background check
4. Irregular (EEO/AA not required) (04)
- a. Faculty Data Form
 - b. If candidate will be engaged in the practice of any other clinical practice, the candidate must complete and return the original Faculty Practice Form signed and notarized to the Dean's Office
 - c. Signed letter of offer indicating acceptance of position and outlining expectations/restrictions
 - d. Standardized Curriculum Vitae
 - e. ACT document
 - f. I-9 Form
 - g. Original terminal degree transcript **and, if degree earned from foreign institution**, evaluation of credentials by an outside agency, AMA verification, or ECFMG certification must be on file in the Sr. VP and Dean's Office.
 - h. Email confirmation that background check is clear or copy of email requesting background check
5. Voluntary (60)
- a. Faculty Data Form
 - b. If candidate will be engaged in the practice of any other clinical practice, the candidate must complete and return the original Faculty Practice Form signed and notarized to the Dean's Office
 - c. Letter of offer describing duties that will be performed by the potential faculty member

- d. Standardized Curriculum Vitae
- e. ACT document
- f. Original terminal degree transcript **and, if degree earned from foreign institution**, evaluation of credentials by an outside agency, AMA verification, or ECFMG certification must be on file in the Sr. VP and Dean's Office.

Format for Standardized Curriculum Vitae
University of Alabama at Birmingham
School of Medicine Faculty

Date:

Personal information

Name:

Citizenship:

Foreign language(s):

Home address:

Phone:

Rank/title

Department:

Business address:

Phone:

Fax:

Email:

Hospital and other (nonacademic) appointments:

Professional consultancies:

Education:

Year

degree

institution

Military service:

Licensure:

Board certification:

Postdoctoral training:

Year

degree

institution

Academic appointments: (in reverse chronological order)

Year

rank/title

institution

Awards/honors:

Professional societies:

Memberships:

Councils and committees:

University activities:

Editorial board memberships:

Major research interests: (2-3 sentences)

Teaching experience:

Major lectures and visiting professorships:

Grant support: (past and current)

(include year(s) of funding, amount of funding, PI on award, role on award if not PI)

Other:

Bibliography:

Manuscripts:

(numbered, in chronological order, faculty member's name should underlined or highlighted)

Manuscripts already published

Manuscripts in press

Manuscripts submitted but not yet accepted

Manuscripts in preparation

Other publications (letters to the author, book reviews, etc.)

Books:

(Numbered, in chronological order, faculty member's name should underlined or highlighted)

Books and Book Chapters

Published abstracts

(Numbered, in chronological order, faculty member's name should underlined or highlighted)

Poster Exhibits

Oral Presentations

(Numbered, in chronological order, faculty member's name should underlined or highlighted)

Scientific papers presented at national and international meetings

Scientific papers presented at local and regional meetings

Invited workshops, etc. at national postgraduate courses and meetings and at other universities

Invited lectures at local and regional courses and meetings

Miscellaneous:

Films, educational tapes, syllabi, software packages and courses developed, etc.

Step Two - Phase I – Starting the Appointment Process

See listed requirements on page 4 and 5

Step Three - Phase II – Finalizing the Appointment Process

Submission and Documentation Required

Phase II of the appointment process actually finalizes a candidate's appointment. Phase II proposals can only be submitted after Phase I proposals have been reviewed and approved by the Dean, Provost, and President (if applicable).

NOTE: Original terminal degree transcript and, if degree earned from foreign institution, evaluation of credentials by an outside agency, AMA verification, or ECFMG certification must be on file in the Sr. VP and Dean's Office.

The following documentation is required in a Phase II submission proposal in order to finalize the appointment process and must be **attached to the electronic Faculty Data Form**.

1. Approved Checklist for Recruitment and Employment with Phase II boxes checked
2. Signed letter of offer indicating acceptance of the position by the candidate
3. ACT document
4. I-9 form (Sent directly to Records)

Section 3: Other Appointments

Instructor/Fellow Appointments
Graduate School Appointments
Secondary/Administrative Appointments
Center Appointments
Special Faculty Appointments
Voluntary Faculty Appointments/Promotions/Terminations

Instructor / Fellow Appointment Procedures

This is considered a faculty position. Instructor/Fellows are currently in subspecialty training.

These appointments are made in a full-time temporary (02) or voluntary status (60) in conjunction with a fellowship or training program. These are initially one-year appointments renewable annually for up to three years with approval by the Provost's Office. The length of the fellowship should be noted in the letter of offer. If the Instructor/Fellow is still in Graduate Medical Education (GME) as a PGY 5, 6, or 7, the appointment must be voluntary since the primary appointment will be with GME.

Instructor/Fellows should have completed a 4-year residency program and should be PGY 5, 6, or 7 or no longer active in GME.

Documentation Required

NOTE: No official printed advertising is needed for this position.

1. Faculty Data Form
2. Letter of offer (stating this is a fellowship and the length of the fellowship)
3. Standardized Curriculum vitae
4. If candidate will be engaged in the practice of medicine or any other clinical practice, the candidate must complete and return the original Faculty Practice Form signed and notarized to the Dean's Office
5. ACT Document
6. I-9, if new appointment (not needed if voluntary appointment or current resident)
7. Original terminal degree transcript **and, if degree earned from foreign institution**, evaluation of credentials by an outside agency, AMA verification, or ECFMG certification must be on file in the Sr. VP and Dean's Office.

Documentation Required for Renewal of Instructor/Fellow appointments:

1. Faculty Data Form
2. Letter of offer (can be copy of original letter of offer)
3. ACT document

Graduate School Appointments

Appointment to the faculty of the Graduate School is required for participation in Graduate School activities. Such appointments are supplementary to faculty appointments in an established school in Academic Affairs or in Health Affairs. No faculty appointments in the Graduate School are primary faculty appointments. Continuation of appointment to the graduate faculty shall be based on a periodic evaluation of the appointee's participation in graduate training activities.

The Graduate School should be informed by the Department Chair, Dean, or Library Director of all anticipated changes in faculty status, including non-reappointment, promotion, and/or the award of tenure.

If Graduate Faculty Status is being recommended in the secondary appointment, and the faculty member has already been granted graduate faculty status in the primary department, send a copy of all the paperwork to the Dean of the Graduate School for their records. No signature is needed from the Dean of the Graduate School.

If the faculty member does not have Graduate Faculty status in the primary department, the secondary department must send their recommendation, in writing, to the Dean of the Graduate School. HRM Records requires and must have the Dean of the Graduate School's signature on all newly appointed Graduate Faculty on the Faculty Data Form.

Please see the Graduate School website, <http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx>, for policy and procedure.

Secondary / Administrative Appointments

Administrative Appointments:

A faculty member may be appointed to an administrative position within a school, department, center, program or laboratory. The faculty member may be given additional salary for accepting the administrative appointment. A faculty member may be appointed to an administrative position in another school, department, center, program, or laboratory.

Secondary Appointments:

A faculty member may only be given a secondary appointment in another school, department, or division. In addition, a secondary appointment may not be given at a rank higher than the faculty member's primary appointment.

Note: The primary department should notify secondary department(s) when a faculty member is promoted in rank. If the secondary department(s) agrees to a like promotion within their department, they should complete the Faculty Data Form with the “new” rank and obtain the proper signatures on the letter of offer. Both primary and secondary departments should keep each other informed of any changes regarding a faculty member.

Documentation Required:

1. Faculty Data Form
2. Letter of offer from Chair/Director of the secondary department and/or administrative unit informing the faculty member of the appointment. Letter of offer should state the new rank and date of appointment. If administrative, outline expectations, additional responsibilities, and salary support specifying dollar amount or percentage (if applicable).
NOTE: If the faculty member receives additional salary the letter should include the following statement “should you no longer hold this administrative appointment your salary will be adjusted accordingly”.
3. Faculty member’s signature of acceptance as outlined in the letter
4. Faculty member’s updated curriculum vitae in standardized format if secondary appointment

For more information regarding Secondary and Administrative appointments, see the UAB Faculty Handbook (<http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx>).

Center Appointments

Documentation required:

Letter from Center Director offering appointment (letter should show center name, effective date of appointment, and center title)

Center titles and equivalent faculty ranks:

Associate Scientist	Assistant Professor
Scientist	Associate Professor
Sr. Scientist	Professor

Instructions:

Letter to Faculty member must be attached to the electronic Faculty data form

For more information regarding Center appointments, see the UAB Faculty Handbook (<http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx>).

Special Faculty Appointments

Special faculty are those with part-time assignments who have defined roles identified in their letters of appointment or faculty who are not considered regular faculty and usually hold ranks as listed below. These appointments are made on recommendation by the department chair to the Dean/Provost and are reviewed annually. The basis of the appointment is an agreement between

the department chair and the appointee with regard to the expected teaching, research and/or service contributions that are to be specified in writing. Special faculty are non-tenure earning.

1. Voluntary
2. Visiting Faculty
 - a. Letter from the Chair describing the reason and length of appointment, and if he/she is to be paid
 - b. Standardized Curriculum Vitae
 - c. Signed letter of offer which outlines expectations/restrictions
 - d. Faculty Data Form
 - e. ACT document and I-9 if visiting faculty is to be paid
 - f. If candidate will be engaged in the practice of medicine or any other clinical practice, the candidate must complete and return the original Faculty Practice Form signed and notarized to the Dean.
3. Graduate Faculty Status
(See Graduate School Appointments)
4. Professor Emeritus
(See Termination/Retirement/Emeritus)
5. Other: Nurses, Social Workers, Therapists, Junior Scientists
(See Instructor, Instructor/Fellow)

Voluntary Faculty Appointments

Clinicians and investigators outside the University of Alabama at Birmingham School of Medicine may participate to a significant degree in the clinical education of our residents or medical students and/or in the investigatory programs of a department.

As such, voluntary faculty appointments provide a format mechanism to recognize these important contributions and relationships whether in research or clinical education.

Voluntary Faculty Appointment for Research Contribution (Adjunct):

Such appointments indicate that the primary contributions are to the advancement of research projects at the University of Alabama at Birmingham School of Medicine with specific implications for the department.

The qualifications for appointment to this track may vary by department. However, demonstration of research excellence as exemplified by participation in collaborative projects, publications or grant support is a primary requirement.

Adjunct Instructor appointment requires:

Evidence of substantive recognition as a researcher/educator
Completion of postgraduate training, i.e. PhD

Adjunct Assistant Professor appointment requires:

- Having served previously in the role of Instructor for two years
- Evidence of substantive recognition as a researcher/educator
- Regional recognition in their field

Adjunct Associate Professor appointment requires:

- A minimum of five years in some combination of two preceding lower ranks
- Demonstration of national recognition in their field

Adjunct Professor appointment requires:

- Having served at least eight years in some combination of three preceding lower ranks
- International recognition in their field
- Clear demonstration of an essential role in facilitating the research activities of the department and the school

Voluntary Faculty Appointment for Clinical Contributions (Education)

Clinical Instructor appointment requires:

- Completion of residency program in discipline relevant to the clinical area
- Demonstrated clinical competence
- Board certification or equivalent
- Hospital privileges
- License to practice in the profession
- Demonstrate an interest in teaching and participate in courses designed to improve teaching skills and evaluate performance

Clinical Assistant Professor appointment requires:

- Meet requirements for Clinical Instructor
- Evidence of professional recognition at the local level as an excellent clinician
- Has served as preceptor for medical students and/or residents on a regular basis for a two-year period
- Has received above average teaching evaluations

Clinical Associate Professor appointment requires:

- Meet requirements for Clinical Assistant Professor
- Evidence of demonstrated creative contribution to academic and clinical programs
- Evidence of regional recognition as a clinician
- Has served as a preceptor for medical students and/or residents on a regular basis for at least five years
- Has consistently received above average teaching evaluations

Clinical Professor appointment requires:

- Meet requirements for Clinical Associate Professor
- Evidence in the opinion of colleagues that the individual is an outstanding clinician
- Evidence of state, national, or international recognition as an excellent clinician

Has served as a preceptor for medical students and/or residents on a regular basis for at least 10 years

Has consistently received above average teaching evaluations

Documentation Required for Voluntary Faculty Appointments/Promotions/Terminations:

For initial appointment the following document is required:

1. Signed letter of offer from the Chair in support of the appointment including an outline of the primary educational and/or investigatory contributions expected
2. Faculty Data Form
3. Standardized Curriculum Vitae
4. Faculty Practice Form if involved in clinical practice or the practice of medicine
5. ACT document
6. Original terminal degree transcript **and, if degree earned from foreign institution,** evaluation of credentials by an outside agency, AMA verification, or ECFMG certification must be on file in the Sr. VP and Dean's Office.
7. Departmental committee review is necessary only if departmental policy so requires, or if deemed necessary due to unusual or questionable circumstances. As such, the appointment or promotion should be submitted for review and approval through the department's own appointment and promotion committee. Such proposals require an Appointment Action Summary Form officially recording the recommendations and approvals of the various administrative levels

For promotion of a clinical or adjunct (voluntary) faculty member within your department the following documentation is required:

1. Recommendation from the Chair in support of the promotion including details of the faculty member's contributions to the research or educational activities of the department and school
2. Faculty Data Form
3. ACT document
4. Updated Standardized Curriculum Vitae

For termination of a clinical or adjunct (voluntary) faculty member within your department the following documentation is required:

1. Faculty Data Form
2. ACT document

Potential adjunct/clinical faculty appointees who have had prior service as a medical school faculty member or prior medical teaching service may apply that service to these UABSOM criteria for appointment to an advanced rank.

Section 4: Other Faculty Personnel Actions/Activities

Change in Tenure Status
Change in Location of Primary Appointment
Change of Assignment Category
External Faculty Consulting Activities
Internal Faculty Consulting Activities
Foreign Travel
Endowed Chairs and Professorships

Changing Tenure Status

Non-tenure Earning to Tenure Earning

Changing from a non-tenure earning faculty position to a tenure earning faculty position can only be done if it can be documented through the position advertisements and FRR that the position into which the faculty member was hired was actually established as an open tenure status, or tenure-earning position. A prior review is required if a change to tenure earning status is at the rank of Associate Professor or Professor.

Documentation Required:

1. Letter from the Chair to the Dean stating the reason to warrant change at this time
2. Signed letter to the faculty member
3. Faculty Data Form
4. Copy of the original FRR Form and advertisement when hired
5. Standardized Curriculum Vitae

If the option for tenure earning status cannot be documented in the accompanying position advertisements and FRR, the department must fulfill all recruitment requirements for a new tenure earning position in accordance with departmental, School of Medicine, and University policy. Internal candidates cannot be considered for the new tenure earning position without formal application. The department must then submit a prior review proposal, if position is at the Associate Professor or Professor level. The Phase I and Phase II proposals must be submitted subsequently for further review and approval by the SOM Dean, Provost and President.

Faculty promotion and award of tenure are based on a faculty member's training, experience, activities, and the potential for continued growth in teaching, scholarly activities, including research and other creative activities, and service. An individual will be judged by these criteria in proportion to their relative importance to each academic rank, the type of appointment held by the faculty member, and the program priorities of the appointing unit. Colleagues within UAB, as well as colleagues outside the institution shall evaluate the faculty member in these areas.

Specifically, in the area of teaching, student evaluations should be solicited and letters of support may also include colleagues' evaluation of teaching credentials, experience, and scholarly activities.

The date that defines the start of the tenure earning period and therefore the completion of the tenure earning period is October 1.

Faculty members appointed to tenure earning faculty positions in the School of Medicine shall have ten years to earn tenure. If tenure has not been awarded prior to one year before the end of the specified maximum tenure earning period (the end of the ninth year), the appointment for the final year shall be a terminal appointment. Only in cases where there is substantial new evidence in support of candidacy for tenure may a candidate be considered for tenure during the terminal year. This candidate should have been proposed for award of tenure and disapproved prior to proposal for award of tenure in his/her tenth and final year. The department will have to request and receive approval by the Dean and Provost prior to submission of this proposal during the annual promotion/tenure award cycle.

Tenure Earning to Non-tenure Earning

A faculty member may request to be moved from the tenure earning track to the non-tenure earning track at any time during the 10-year tenure earning period. A faculty member may also be moved to the non-tenure earning track at the request of the Chair with approval by the faculty member if it appears that the faculty member will not be awarded tenure within the time allowed (in his/her ninth year). If a faculty member has been moved from the tenure earning track to the non-tenure earning track he/she may not be placed on the tenure earning track again unless he/she left UAB and was subsequently rehired into an open, advertised tenure earning position. The Phase I and II process will have to be completed as with any new faculty member.

Documentation required:

1. Recommendation letter by Division Director/Chair to the Dean
2. Letter of understanding signed by the faculty member
3. Faculty Data Form

Further Tenure Guidelines can be viewed in the UAB Faculty Handbook (<http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx>).

Change in Location of Faculty Member's Primary Appointment (Change of Locus)

Transferring a faculty member's primary appointment to another school, department, or division is referred to as a Change of Locus. In addition to submitting the material listed below, it is important to write a memorandum to the Dean stating the reason for the change, i.e., special documentation and/or a signed agreement by the faculty member involved.

This type transfer can be processed without establishing a new position and advertising for recruitment only if the position transfers intact from the department and school budget where the appointment is currently held to the department and school budget where the faculty is to be appointed. No changes can be made in faculty rank or tenure status.

In most cases the losing department is responsible for initiating the paperwork involved for a change of locus since, at the time of transfer, they are the department of record and have on file the pertinent faculty information needed.

Documentation Required:

1. Letter to Dean stating the reason for the transfer
2. Letter of offer signed by the faculty member and both Chairs
3. Faculty Data Form
4. Updated standardized Curriculum Vitae
5. ACT document

Change of Assignment Category

A faculty member may request a change in assignment category at any time during his/her employment. A change in assignment category may be requested for various reasons and must be approved by the Division Director/Chair, Dean, and Provost. Faculty hired into positions created and advertised as part-time may not have his/her assignment category changed to full-time. If a full-time position is requested by the faculty member he/she will have to apply for an open full-time position. Faculty that request to become irregular should be made aware in writing of the change in benefits.

Documentation Required:

1. Letter to Division Director/Chair from faculty member requesting the change detailing reason for the request showing approval from Division Director/Chair
2. Faculty Data Form
3. ACT document

External Faculty Consulting Activities Guidelines and Approval Process

UAB recognizes outstanding contributions and achievement by its faculty not only by appropriate compensation adjustments and promotion but also by permitting faculty members' substantial freedom in arranging their academic lives. Although instruction, research, and service are the primary functions of UAB faculty, UAB recognizes the desirability of making available the services of the many highly trained specialists on its faculty to business, industry, government, professional societies, or other appropriate groups. The involvement of UAB faculty in providing external services of a professional nature contributes significantly to the public welfare, offers opportunities for professional challenge and growth, brings recognition to the institution, and contributes to the improvement of UAB's instruction research and service programs. Therefore, UAB encourages members of its faculty to participate in extramural

activities which are consistent with their primary responsibilities to the institution.

Full-time faculty members may, with the approvals described below, contract to perform independent research, to furnish services as a consultant, or both, provided such activity (a) does not interfere with the performance of other responsibilities as a faculty member, (b) is limited in time, (c) is compatible with the interests of UAB as a public academic institution, and (d) does not require significant use of UAB resources or facilities. Faculty activities which use significant UAB time or UAB resources (for example, laboratories, studios, equipment, supplies, databases, students, or staff paid by UAB) should be handled as UAB grants or contracts.

Because of the great variation in the nature of faculty expertise and external activities, it is difficult to establish specific rules or time allocations for external consulting activities that draw upon the knowledge and skill of a faculty member's professional duties at UAB. It is the responsibility of the faculty member, Department Chair, and Dean or Library Director to exercise judicious oversight and control of external activities so that no UAB functions or policies are neglected. Written prior approval to participate in any external activities, except those cases identified below, shall be obtained from the Dean or Library Director through the appropriate Department Chair using the [electronic process for Faculty/Staff External Activities/COI disclosure](#).

Faculty who are denied approval for external activities should seek resolution directly through their respective department chair or dean/library director according to the faculty grievance procedure.

External activities that draw upon the knowledge and skill of a faculty member and are considered professional public service activities do not have to be reported or approved, whether compensated or not. These exempted external activities include:

1. Seminars, lectures, service on advisory committees or boards of directors, or review panels for US federal, state, or local government agencies, institutions of higher education, academic teaching hospitals, medical centers or research institutes that are affiliated with an institution of higher education
2. Professional studies, services, participation on boards of directors, or participation in manuscript review, grant/contract review, or academic program review for nonprofit/philanthropic entities, professional societies, or professional associations, that are not affiliates of or affiliated with industry or other for profit entities;
3. Seminars, presentations, performances, or board service for civic groups
4. Participation on boards of directors with UAB enterprise affiliated entities

Although no prior approval is required, a faculty member who is an **investigator** (responsible for the design, conduct, or reporting of proposed or active research) is required to disclose financial interest exceeding \$5,000 acquired from any one entity in the previous 12 months for their participation in any professional public service activities listed in numbers 2) and 3) above.

All other external activities which draw upon the knowledge and skill of a faculty member require prior approval. Although examples in and of themselves require interpretation and

judgment, a sample of such compensated activities usually will include (a) one-time or multiple visits to a business for the purposes of offering advice and counsel, (b) carrying out investigations or studies which are not UAB grants or contracts, (c) a series of non-UAB lectures or performances for commercial entities, (d) serving as an expert witness, or (e) rendering specific professional services other than those through a UAB-affiliated professional services fund.

Faculty also are responsible for ensuring that external activities are conducted in accordance with [UAB Enterprise Conflict of Interest and Conflict of Commitment Policy](#), as well as policies on disclosure of discoveries and inventions, patents, and computer software. When participating in external activities other than professional service activities, the faculty member should not use the name of the University of Alabama at Birmingham to imply that UAB is sponsoring the activity or the project.

Internal Faculty Consulting Activities

Internal activities performed by faculty members for which there is additional compensation are to be limited in time and must receive prior approval on a project-by-project basis. Faculty may be permitted to perform internal activities within UAB when:

1. The individual has specialized training or knowledge essential to the programs; and
2. The performance of these duties is such that it is above and beyond the commitments associated with the faculty appointment.

Examples of internal activities within UAB by which additional compensation may be paid to the faculty member include special lectures, short courses, sponsored research projects, and continuing education projects.

Internal activities for UAB-administered projects financed by non-UAB sources may or may not be permitted in accordance with the policy of the sponsoring source. If permitted by the sponsor, approval within UAB must be obtained as indicated below. In cases in which the sponsor's policy is unclear or unknown, clarification should be obtained from the UAB Office of Sponsored Programs.

Rates of payment for internal activities or special services are to be determined on the basis of the individual's salary or evidence that the fee is appropriate considering the qualifications of the consultant, normal charges, and the nature of the services to be provided and should be approved by the appropriate administrator(s). Work for special fees should be performed so as not to interfere with academic or other UAB responsibilities. Such fees are considered income and, as such, are paid and reported according to stipulations of the "[Personal Services Approval and Payment Policy–UAB Employee](#)" policy.

The appropriate Department Chair, Dean, or Library Director of the faculty or staff performing the internal activity and Department Chair, Dean, or Library Director of the unit requesting the service must give their approval of these internal activities. If internal activity is across school lines, approval by the Provost also is required. Internal activities by UAB faculty or staff under

funds obtained from UAB grants or contracts or funds from any extramural source additionally require the approval of the Provost. All such approvals must be obtained before a commitment is made.

Consulting and the performance of duties by faculty members for special fees within UAB are to be limited in time and subject to prior approval on a project-by-project basis. Faculty will be permitted to perform consulting and other types of services within UAB:

1. The individual has specialized training or knowledge essential to the programs; and
2. The performance of these duties is such that it is above and beyond the commitments associated with the faculty appointment and by which special fees may be paid to the faculty member includes: special lectures, short courses, sponsored research projects, and continuing education projects.

Consulting on UAB-administered projects financed by non-UAB sources may or may not be permitted in accordance with the policy of the sponsoring source. If permitted by the sponsor, permission within UAB must be obtained as indicated below. If the sponsor's policy is unclear or unknown, clarification should be obtained from the UAB Office of Grants and Contracts Administration.

Rates of payment for consulting or special services are to be determined on the basis of the individual's salary or evidence that the fee is appropriate considering the qualifications of the consultant, normal charges, and the nature of the services to be provided and should be approved by the appropriate administrator(s). Work for special fees should be performed so as not to interfere with academic or other UAB responsibilities. Such fees are considered as income and should be reported accordingly. (See "Personal Services Approval and Payment Policy – UAB Employee")

The appropriate Department Chair and Dean of the consultant and the unit requesting the service must give their approval of these consulting activities within UAB. If consulting is across school lines, approval by the Provost is also required. Consulting by UAB faculty or staff under funds obtained from UAB grants or contracts additionally requires the approval of the Provost. All such approvals must be obtained before a commitment is made.

UAB-Related International Travel Registration

International travel is defined as any UAB-related travel outside of the United States, United States territories and possessions (also known as "United States Insular Areas"), and Canada. Employee University-related travel is defined as any travel authorized to be paid from, or reimbursed through, any UAB account, regardless of funding source (see Section 8 of the *UAB Faculty Handbook and Policies*). Board Rule 413 requires prior written presidential approval of employee University-related travel. Vacations and personal foreign travel are not permitted or included.

For more information please see policy for University-related Foreign Travel, <http://sppublic.ad.uab.edu/policies/Pages/LibraryDetail.aspx?pID=679&Source=http%3A%2F%2Fsppublic%2Ead%2Euab%2Eedu%2Fpolicies%2FPages%2FPolicyListName%2Easpx%3FpAN%3DF>.

Obtaining Appropriate Foreign Travel Approval

Faculty and staff should use the electronic Request for Approval of Employee UAB-related Foreign Travel form

(<https://blazerapps.uab.edu/CookieAuth.dll?GetLogon?curl=Z2FuabformsZ2FDisclosuresZ2Fdefault.aspx&reason=0&formdir=3>) when requesting approval of University-related foreign travel or foreign travel which requires approval by the University but for which the expenses will be paid directly to the traveler by a non-UAB agency or organization. Employees will need a BlazerID strong password to access the form.

1. Prior to travel or requesting any expense reimbursement the traveler must complete and submit a Request for Approval of Employee UAB-related Foreign Travel form for appropriate review and approval as follows:
2. Traveler checks U.S. State Department (http://travel.state.gov/travel/travel_1744.html) travel warnings for the countries listed on the Request for Approval of Employee UAB-related Foreign Travel form and completes the section of that form assuring UAB that there are no hazardous conditions posted for those countries.
3. Review and approval by employee's Department Chair/Division Director
4. Review and approval by employee's Dean
5. Review and approval of Office of Grants and Contracts Administration if a sponsoring agency is to be a source of funding for the foreign travel (that is, if the foreign travel will be paid from a UAB account)
6. Review and approval by the Provost
7. Review and approval by the President

Academic Chairs or Endowed Professorships Appointment Guidelines

System and institution procedures for appointment to academic chairs or endowed professorship, as well as individual appointments to academic chairs and endowed professorships, require the approval of the Board of Trustees. The University of Alabama System guidelines below are intended as a framework within which the institutions may develop individual procedures to suit their special needs. Within a University, selection procedures may differ among schools, colleges, divisions, or departments, as necessary to conform to the practices and customs of particular academic disciplines or professions. Where the funding for an endowment is tied to an administrative appointment, the search process for an administrative appointment must include consideration of the endowed chair or endowed professorship.

1. The process for filling an endowed chair or endowed professorship shall include a comprehensive search to identify and recruit candidates who can make the greatest contributions to our institutions.

2. In reviewing the credentials of endowed chair or endowed professorship candidates outside peers shall be consulted. Peer reviewers may include, but not be limited to, those suggested by the candidates.
3. The selection process shall include provisions for direct input from faculty members of the academic department(s) in which the chair resides.
4. When an institution has completed a search and wishes to nominate a person for appointment by the Board, a recommendation will be forwarded by the President to the Chancellor along with an outline of the steps followed in the search process, a list of the search committee members, a copy of the nominee's curriculum vitae, and written evaluations by outside peers.
5. The Chancellor recommends appointment of the nominee, the Academic Affairs and Planning Committee of the Board will be provided with a copy of the candidate's curriculum vitae and a supporting letter from the institution administration, which shall include a short summary of the reasons for maintaining this individual. The Committee will also be administrators concerning the suitability of the nominee for the endowed chair or endowed professorship position. The Academic Affairs and Planning Committee will then make a recommendation to the Board. Appointments to endowed chairs and endowed professorships may be finalized only after approval by the Board of Trustees of The University of Alabama.

UAB places a high value on the existence of endowed chair and professorship positions and the special opportunities they provide to support faculty members of exceptional quality. Special procedures are appropriate, therefore, to ensure the identification and selection of unusually gifted faculty for such appointment. The procedures outlined below will be used at UAB to prepare endowed chair or endowed professorship appointment recommendations. In accordance with Board Rule 508, such recommendations will be forwarded from the President to the Chancellor and the Board of Trustees for final approval.

Before detailing the procedures which will be used at UAB for filling endowed chairs or professorships, it is important to recognize that in certain cases the terms and conditions associated with an endowed position require that the individual holding a specific administrative position hold a specific endowed position. Since in such cases there will undoubtedly be a *bona fide* search for a highly capable individual, the special procedures outlined below will not apply. The Chancellor and Board, however, will be informed of the administrative appointment and asked to confirm the concurrent appointment to the relevant endowed position.

Procedure for Filling Endowed Chairs And Professorships

1. The process to identify suitable or professorship endowed chair candidates will begin with the appointment of an appropriate Advisory Committee. In the case of endowed chairs or professorships which exist within divisions, departments or centers, but are not designated for an individual occupying a specific administrative position, the department chairperson or center director shall recommend a minimum of five senior faculty (including at least one-third members from outside the relevant academic unit) to compose the Advisory Committee. The composition of each Advisory Committee

- must be approved by the appropriate Department Chair through the level of the academic vice president. In the case of school-wide chair or professorship appointments, Advisory Committee membership recommendations will be made by the appropriate dean and approved by the appropriate academic vice president.
2. The advisory Committee will use an appropriate variety of means and credentials to identify and review candidates giving full and appropriate consideration to individuals of outstanding ability both on and off campus. In all cases, evaluations should be obtained from distinguished and knowledgeable referees outside UAB.
 3. When considering external candidates, the Advisory Committee shall bring such candidates to the campus to present seminars and to meet with campus faculty and administrative officials.
 4. The Advisory Committee will recommend one or more acceptable candidates to the department chairperson or center director (or dean in the case of a school-wide position). Such recommendations must be accompanied by a complete curriculum vitae and a minimum of six letters of support, three of which must be from referees outside UAB.
 5. The department chairperson, center director, and/or dean will carefully review the Advisory Committee recommendations keeping in mind the high standards desirable for such an appointment and forward their recommendation to the President through the appropriate dean and academic vice president.
 6. If the President supports the recommendation, he/she will forward the recommendation to the Chancellor and Board with an appropriate letter of support, resolution, dean/department chair recommendation letters as well as all internal and external recommendation letters, and accompanying curriculum vitae.

Documentation Required:

1. Agenda Item Recommendation Form
2. Formal resolution
3. Letters of support
 - a. Dean letter of recommendation
 - b. Department Chair letter of recommendation
 - c. Letter from the advisory committee (all members should be listed on the letter)
 - d. Six letters of support from peers (three must be from outside UAB)

Proposal should be sent to Terri Brown, FOT 1207 – 3412

For more information on Endowed Chairs and Professorships see the UAB Faculty Handbook (<http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx>). Administrative information is also available at: <http://www.uab.edu/boardliaison/agenda-req-bd-approval/checklist-for-endowed-chairprofessorship-submissions>

Section 5: Promotion and Tenure Award Guidelines

Promotion/Tenure Cycle
Projected Calendar for Annual Promotion/Tenure Award Process
Instructions for Submitting Promotion/Tenure Award Proposals
Summary for Evaluating Teaching, Scholarly, Academic, and Clinical Activities
Sample Portfolio of Teaching, Research, and Service Activities
Faculty Appointment and Tenure Guidelines

Promotion/Tenure Cycle

The data provided herein details the School of Medicine instructions for this year's faculty Promotion and Tenure Award Cycle. Compliance with the SOM guidelines for appointment, promotion and tenure award as approved by the Faculty Council and Dean is also required.

With no exception the Faculty Council will expect **the instructions to be followed closely**. Proposals that do not meet School of Medicine criteria as outlined will be returned to the department for appropriate action.

Research Associates and Postdocs can be promoted into a faculty appoint at the rank of Instructor NTE only. These appointments do not go through the Phase I and II process. These appointments are submitted in one step.

Documentation required for promotion from Research Associate and Postdocs to Instructor:

1. Faculty Data Form
2. Standardized CV
3. Signed Letter of Offer
4. Original terminal degree transcript **and, if degree earned from foreign institution**, evaluation of credentials by an outside agency, AMA verification, or ECFMG certification must be on file in the Sr. VP and Dean's Office.
5. ACT doc
6. If candidate will be engaged in the practice of medicine or any other clinical practice, the candidate must complete and return the original Faculty Practice Form signed and notarized to the Dean's Office

The proposals may be submitted at any time during the year. The faculty appointed to Instructor from Research Associate or Postdoc cannot be promoted beyond the rank of Instructor unless the recruitment process is done for an Assistant Professor and the faculty member applies for the position. If the faculty member is qualified and selected for the position, Phase I and II proposals must be submitted as with any other faculty appointment

Promotions involving the ranks of Instructor to Assistant Professor **only** require review and approval by the Dean. As such, these proposals **may be submitted anytime throughout the year**.

Proposals submitted at these ranks require an **original and one copy**. (The process for promotions from Instructor to Assistant Professor is currently under review by the Provost's Office.)

Documentation required for promotion from Instructor to Assistant Professor:

1. Recommendation letter from Department Chair/Division Director
2. Signed letter from the faculty member
3. Standardized CV
4. Promotion/Tenure Action Summary Form
5. Faculty Data Form
6. ACT Document

NOTE: Proposals for promotion from Instructor to Assistant Professor should be submitted to the appropriate Dean's Office HR contact for your department. Forward all other promotion and/or tenure award proposals to Anne Graham, Faculty Office Tower 12th Floor.

Projected Calendar for Submission of Promotion and Tenure Award Proposals

September

Written notification from the Dean is distributed to department chairs/administrators, and Faculty Council regarding the upcoming promotion/tenure award cycle including projected calendar.

Department administrators submit ACT documents for each faculty member reflecting the appropriate change in rank as approved and any associated salary increase in the prior promotion/tenure award cycle.

December, January, and February

Departments/divisions prepare promotion and/or tenure award proposals as outlined in the School of Medicine instructions. These proposals require review and approval or denial by the Department Appointment, Promotion and Tenure committee prior to submission for review and consideration by the Faculty Council. Deadlines for review by departmental committees are set by each department.

March (SOM Deadline for submitting promotion/tenure award proposals, departmental deadlines will be earlier)

Departments submit all faculty promotion and/or tenure award proposals to Anne Graham, Sr. VP and Dean's Office, 12th Floor on or before the established deadline. All promotion/tenure award proposals submitted for review must include an original plus one copy. Note, the accompanying copy should be an exact duplicate of the original proposal and should reflect the appropriate approval signatures and include copies of any and all reprints submitted as part of the original proposal for promotion and/or award of tenure. Departments should have all proposals uploaded into the SOM Faculty Promotion and Tenure Management website by March 31st.

April

The SOM Faculty Council reviews the promotion and tenure packets during the month of April that have been uploaded into the SOM Faculty Promotion and Tenure Management website.

May (First week)

Faculty Council will meet Monday and Tuesday, to review the promotion and tenure award proposals as submitted by the departments.

May (Second week)

Letters will be sent to department chairs with recommendations for approval/denial of promotion and/or tenure award.

May (Third week)

Requests for appeals for denied promotion and/or awards of tenure are due to the SOM Dean's Office.

June (Second/Third week)

Meeting(s) of the Faculty Council to hear appeals for denied promotion and/or awards of tenure, if necessary.

June (Third week)

Faculty Council will make recommendations to the Dean for approval/denial of promotion and/or awards of tenure.

July (First-week)

Dean submits recommendations for approval of promotions and/or awards of tenure to the Provost

July

The Provost submits recommendations for approval/denial of Schools of Medicine/Dentistry faculty promotion and/or tenure award proposals to the President.

August

The Provost and/or President's Office provides notification to the Dean(s) regarding approval of Schools of Medicine/Dentistry faculty promotion and/or tenure award proposals. Approved proposals are then forwarded to Personnel Records. Proposals denied at this level are returned to the School of Medicine Dean's Office for appropriate action and/or follow-up as necessary.

President/Provost and/or Dean(s) will notify department chairs and faculty regarding approval of promotion and/or tenure award proposals.

Department chairs confirm with the faculty member approval of promotion and/or tenure award or inform the faculty member of promotion and/or tenure award denial

Instructions for Submitting Promotion/Tenure Award Proposals

Faculty promotion and award of tenure are based on a faculty member's training, experience, activities, and the potential for continued growth in **teaching, research, and service, as well as scholarly and other creative activities**. A faculty member's achievements will be evaluated using these criteria in proportion to their relative importance to each academic rank, the type of appointment held by the faculty member, and the program priorities of the appointing unit. Colleagues within UAB, as well as colleagues outside of the institution shall evaluate the faculty member in these areas.

Promotion and/or tenure award proposals requiring review by the Faculty Council are to be submitted by the established deadline. Please see projected calendar for overview of entire cycle.

Proposals should be submitted with the original and one (1) copy in the order listed below. Both should be submitted with binder clips only. **Must use tabbed, labeled dividers** (e.g. Chair letter, CV, Teaching Portfolio, etc.)

Detailed Overview for Assembling the Proposal

- 1. Promotion/Tenure Candidate Information Sheet**
 - a. Complete all information and use as cover sheet
- 2. Promotion/Tenure Action Summary Form**
 - a. Complete all applicable fields;
 - b. Record Departmental Committee's Vote
 - c. Record Chair's Recommendation;
 - d. Submit with review/approval signatures and votes
- 3. SOM Promotion and Tenure Guidelines**
 - a. Do not include departmental guidelines
- 4. Curriculum Vitae**
 - a. Must be current and in standardized format
- 5. Recommendation Reports/Letters**
 - a. Department APT Committee Letter (Include an explanation for any dissenting votes, or disagreement with the Department Chair/Division Director's recommendation)
 - b. School Committee's Written Report (must specifically address the candidate's strengths and weaknesses and include the Committee's recommendations and recorded vote)
 - c. Faculty Council Review (to be included by SOM)
 - d. Dean's Recommendation (to be included by SOM)
 - e. Department Chair/Division Director Letter should include:
 - i. An introductory paragraph that explicitly states the candidate's current faculty rank and tenure status, the proposed action (Promotion and/or tenure), role in the department, and his/her area(s) of excellence (2 for tenure earning/tenured or 1 for non-tenure earning) for which he/she should be evaluated.
 - ii. A brief professional biographic summary of the candidate's educational and professional experience.

- iii. Separate paragraphs describing why the candidate has achieved excellence in the designated area(s), and significant accomplishments in the remaining area(s)
- iv. A summary, which includes an explicit statement of support (or non-support) for the proposed action.

6. Teaching Portfolio

- a. Either a teaching evaluation instrument devised by the department and approved by the Dean(s) or the attached teaching evaluation form must accompany all other teaching and evaluation documentation included in the candidate's proposal.
- b. Individual student evaluations should also be solicited and accompany the teaching evaluation form as additional support documentation. Support letters, which include colleague evaluations of teaching credentials, experience, and scholarly activities, would also be considered beneficial.

7. Research Portfolio

8. Service Portfolio

- a. See "Portfolio" section attached. Each section should be limited to 2 pages, single spaced and 11 point font, and also include as supplements formal evaluations and letters documenting effectiveness in teaching, research and service, as applicable.

9. External Reviewer Letters

- a. Reports by references external to UAB (minimum- 3, maximum- 5)

10. Internal Reviewer Letters

- a. Reports by references internal to UAB (minimum- 3, maximum- 5)

11. Department Reviews

- a. Chair's annual review and pre-tenure and/or pre-promotion departmental reviews

12. Reprints

- a. Copies of publications/reprints or other evidence of scholarship/research productivity (Associate Professor - 3 major reprints; Professor - 5 major reprints)

If the proper format and/or forms are not used, the proposal will be returned to the department to be resubmitted with the correct, revised forms and/or format.

NOTE: Examples of properly formatted documentation and the necessary forms are attached for your use as required.

As noted in the specific instructions and as required by the Provost Office, individual sections **must have** tabbed, labeled dividers (see example on right).



Summary for Evaluating Teaching, Scholarly, Academic, and Clinical Activities

Teaching Activities (include but are not limited to):

1. Teaching of students, post-graduate students, or residents in the classroom, laboratory, clinical setting, or other specific area of expertise (this includes continuing education)
2. Direction of graduate research
3. Curriculum development which includes development of objectives, materials and methods of evaluation
4. Student, resident, or fellow advising and counseling
5. Student, resident, or fellow recruiting
6. Facilitation of teaching efforts of the faculty, i.e. helping to assess the value of teaching objectives, or methods of evaluation, providing content material for courses of study
7. Serving as a member of education, curriculum, or admissions committees
8. Efforts to improve personal teaching skills

Evidence supporting or evaluating teaching efforts must come from student/resident/fellow evaluations, teaching awards, recognition by faculty, or professional organizations. Objective evidence regarding the quality of teaching must be included in a candidate's proposal for appointment, promotion and/or tenure award and should include the following:

1. Faculty evaluations of the objectives, methods and materials of courses that have been designed and taught by the individual
2. Student/resident/fellow evaluations of the individual's performance
3. Evaluations of teaching effectiveness by faculty who have taught with the individual or have observed the individual's teaching skill
4. Evaluations concerning the performance of students, residents, and fellows taught by the individual whenever possible and appropriate
5. Organization of new teaching program(s), or integration of teaching effort within or between departments
6. Development of better teaching techniques
7. Development of short courses or "workshops" for students, residents, fellows, postgraduate professionals, and lay public
8. Development of better teaching materials, such as the preparation of a syllabus, book of procedures, course of study, laboratory manual, development of testing procedures, or other modes of evaluation. This also includes educational efforts directed at students, residents, fellows, postgraduate professionals, and the lay public

NOTE: Either a teaching evaluation instrument devised by the department and approved by the Dean(s) or the attached teaching evaluation form must accompany all other teaching and evaluation documentation.

Scholarly Activities

Although scholarly work takes many forms, including research and **other creative activities**, a faculty member's effectiveness can be demonstrated by such achievements as publications and personal presentations of formal papers. The quality of the individual's scholarly approach, capacity for independent thought, originality, and products of research is best determined by critical review by one's peers. To have an impact, the information must be disseminated. This is

best accomplished by publication in appropriate journals, monographs, or books, and by presenting scientific papers, and exhibits at scholarly meetings. Such activities provide the most compelling evidence of scholarship.

Some members of the faculty may contribute significantly in professional service, which can be considered as scholarly pursuit, such as the development and evaluation of new forms of treatment, new surgical procedures, or innovative diagnostic techniques, the results of which are disseminated to the professional community by publication or scientific presentation.

Under these circumstances, the decision to appoint, promote or award tenure must be based on evaluation of the quality or quantity of the faculty member's professional productivity such as:

Has the work been published or presented?

Is it innovative?

Has the task been pursued aggressively?

Has the work been done efficiently?

Has the work benefited the Department, or University?

Does the faculty member show promise of continuing contributions?

Has the faculty member received recognition for the work from peer groups by receiving awards, being elected to important offices, being appointed to consultative committees?

Has the faculty member received peer recognition by being asked to contribute significant sections to textbooks of merit?

Academic Creativity and Research

Academic creativity may manifest itself in teaching, professional activities, and research and may include the following:

1. Publication of articles in professional journals - Greater importance will be attributed to publications in journals that require a critical review, but all publications will be evaluated.
2. Publication of books, monographs, manuals or in electronic media
3. Development of an objective method of evaluation service in a manner that can be quantified and statistically analyzed
4. Editorial consultation or reviews of scientific books and articles
5. Invited presentations of original scientific data at major national or international meetings, or at major institutions or research organizations
6. Demonstration of a sustained, externally funded and independent research program

Academic Service Activities

Service functions must also be recognized as positive evidence for appointment; promotion and/or award of tenure provided that this service emanates from the special competence of the individual in an assigned field and are an extension of the individual's role as a scholar-teacher. Service functions can be those performed for UAB, the Birmingham community, the State of Alabama, regional, national, or international groups. Service may include such activities as:

1. Participation in committee work
2. Fulfillment of administrative assignments
3. Contributions to the improvement of student and faculty life
4. Faculty consultation within or outside

5. UAB Other professional service
Clinical Service Activities

Excellence in patient care is recognized as a **special competence in an assigned field and is an integral part of a clinical faculty member's service role.** Clinical excellence is an application of all aspects of the art and science of medicine to the health and well-being of the patient. The outstanding physician blends the best of knowledge, judgment, interest, and concern with the major focus on the patient. Examples may include:

1. Organization of a new or reorganization of an existing clinical service
2. Development of a new inpatient referral service or treatment facility
3. Organization of a critical care unit
4. Reorganization of an outpatient department

TEACHING EVALUATION

Date: _____

DEPARTMENT: _____

CANDIDATE: _____

EVALUATOR: _____

EXCELLENT VERY GOOD SATISFACTORY UNSATISFACTORY

AVAILABILITY

9 8 7 6 5 4 3 2 1

CLARITY OF EXPECTATIONS

9 8 7 6 5 4 3 2 1

FUND OF KNOWLEDGE

9 8 7 6 5 4 3 2 1

CLARITY OF PRESENTATION

9 8 7 6 5 4 3 2 1

PROFESSIONALISM IN INTERACTION WITH OTHERS

9 8 7 6 5 4 3 2 1

ENCOURAGES CRITICAL THINKING/PROBLEM SOLVING

9 8 7 6 5 4 3 2 1

PROVIDES CONSTRUCTIVE CRITICISM THAT ENCOURAGES LEARNING

9 8 7 6 5 4 3 2 1

OVERALL TEACHING EFFECTIVENESS

9 8 7 6 5 4 3 2 1

Please include narrative comments in a letter or on the reverse side.

Sample Portfolio of Teaching, Research, and Service Activities

The Portfolio should comprise separate sections for the candidate's Teaching, Research, and Service activities (samples attached). It should be used to annotate the candidate's CV by providing additional information about activities beyond what is listed in the CV. For example, the impact of a specific discovery, paper, or educational program can be discussed. Each section should be limited to 2 pages, single spaced and 11 point font, and also include as supplements formal evaluations and letters documenting effectiveness in teaching, research and service, as applicable. Teaching portfolios must include a teaching evaluation instrument devised by the department and approved by the Dean(s) or the attached "Teaching Evaluation" form.

Teaching

Superior and effective teaching is a distinct value for consideration of appointment promotion and/or tenure. All faculty are expected to participate in the educational mission of the SOM in some manner. Student evaluations should be solicited and, where possible, letters of support should also include colleague evaluations of teaching credentials, experience, and scholarly activities.

Specific expectations to be met to achieve Excellence in Teaching include, but are not limited to:

1. Leadership or course master in a divisional, departmental, or SOM teaching program. This includes the development of a new course or program, or documented improvement of an existing course or program. Formal evaluations are required.
2. Mentoring, including leadership of a dissertation committee, or role as a primary mentor. This should be accompanied by names, dates, and outcome. Testimonial letters from trainees are useful.
3. Leadership in curriculum development at the local or national level, including development of objectives, materials and methods of evaluation
4. Objective evidence of teaching excellence, such student/resident/fellow evaluations, teaching awards, recognition by faculty, or professional organizations.

The consistent theme for activities that reach Excellence in Teaching is leadership and intellectual input. There are many Teaching activities that are valuable and are expected from a faculty member in an academic medical center, but by themselves do not reach the level of excellence. Examples of activities that are valued, but by themselves do not reach the level of Excellence include:

1. Participation as a course lecturer
2. Hosting a graduate student on a rotation
3. Serving as a poster judge in various UAB educational activities
4. Teaching of students, post-graduate students, or residents in the classroom, laboratory, clinical setting, or other specific area of expertise (this includes continuing education)
5. Efforts to improve personal teaching skills, with outcome data
6. Informal student, resident, or fellow advising and counseling
7. Participation in student, resident, or fellow recruiting.
8. Serving as a member of education, curriculum, or admissions committees

Research & Scholarship

All faculty are expected to engage in scholarly activities to some degree. To that end, scholarly work takes many forms including research and other creative activities. A faculty member's effectiveness can be demonstrated by a continuous track record of extramural funding, original peer reviewed publications and invited presentations at other institutions and at national/international meetings. The quality of an individual's scholarly approach, capacity for independent thought, originality, and products of research is best determined by critical review from one's peers.

Several parameters are considered in determining Excellence in Research. These include, but are not limited to:

1. Demonstration of a sustained, externally funded and independent research program, with continuity over time and becoming more important for the higher level award (e.g., awarding of Tenure, promotion to Professor). While traditionally the NIH funding was deemed critical, funding obtained from any agency or foundation is recognized.
2. Evidence of research productivity is measured by original publications in peer reviewed journals, books/book chapters, electronic media, and by presenting scientific papers, and exhibits at scholarly meetings. There is no absolute benchmark number of manuscripts that are required for promotion and/or tenure, but it would be expected that a productive faculty member would have ~20 when seeking promotion to Associate Professor, ~35-40 for Professor, with consideration taken for the impact level of the journal, and the position of authorship. Authorship on all manuscripts is valued. However, when authorship is not in the first or last position, it is important to discuss the scientific contribution in the research portfolio. It is appreciated that all authors have important contributions to a scientific manuscript, especially those reporting the findings from large clinical trials and other "team science" efforts.

As applicable, the significance of the faculty member's research should be described, including:

1. Recognition from peer groups, awards, elected to important offices, appointments to consultative committees, being asked to contribute significant sections to textbooks
2. The level of innovation
3. The prospect for future research
4. Benefits to the Department and/or UAB
5. Development of an objective method of evaluation service in a manner that can be quantified and statistically analyzed
6. Editorial consultation or reviews of scientific books and articles
7. Invited presentations of original scientific data at major national or international meetings, or at major institutions or research organizations

Activities that support a strong reputation for the faculty member's scholarship include, but are not limited to:

1. Membership on a national planning committee, NIH study section, and foundation grant reviewer
2. Editor of a journal or membership of an editorial board

Examples of activities that are valued, but by themselves do not reach the level of Excellence include:

1. Membership on editorial boards
2. Ad hoc manuscript reviewer
3. Internal (UAB) grant reviewer
4. Small scale publications, such as case reports, or educational materials.

Service

Service functions are recognized as positive evidence for appointment, promotion and/or award of tenure provided that this service emanates from the special competence of the individual in an assigned field and is an extension of the individual's role as a scholar-teacher. In addition to service at UAB, participation at the level of the Birmingham community and the State of Alabama, as well as in regional, national, or international groups are also valued.

Excellence in Service is achieved by having a leadership role with a strong intellectual component. Such activities include, but are not limited to:

1. Leadership in a professional service organization
2. Leadership in a major UAB educational, clinical, or research committee (local/national)
3. Director/Co-Director of a training program (e.g. graduate or residency program)
4. Director/Co-Director of a research core facility
5. Participation in committee work
6. Fulfillment of significant administrative duties, which should also include positive outcome measures
7. Leadership in community outreach

A typical faculty member will have many service activities that do not rise to the level of excellence, but are valued. Participation in such activities falls under the general service category of 'citizenship', which indicates a faculty member's willingness to be a contributor to the overall well-being of the department and/or university.

Examples of activities that are valued, but by themselves do not reach the level of Excellence include, but are not limited to:

1. Contributions to the improvement of student and faculty life
2. Faculty consultation within or outside UAB
3. Organizing department retreats or social events
4. Interviewing faculty candidates and meeting with visiting scientists/clinicians
5. Judging poster sessions at UAB research events

Note: many service activities are related to activities in education and/or research, and can be listed in both

Clinical Service

Excellence in patient care is an integral part of a clinical faculty member's service role and is therefore recognized as a special competence. Excellence in clinical service is judged by several parameters, including but not limited to:

1. Patient volume, as compared to local, regional, and national peers
2. Development of a clinical care path or area of specialty. This may be the creation of new area of clinical service, or the expansion and enhancement of an existing clinical service
3. Creating or expanding a unique or highly specialized clinical service

4. Development of new treatments, surgical procedures, or innovative diagnostic techniques, the results of which are disseminated to the professional community by publication or scientific presentation

Note: Many clinical services activities can interconnect with educational and research activities as well

Clinical Service Portfolio

Even within medical genetics there are areas of specialization. My area of expertise is in dysmorphology (which is the study of abnormal form), and syndrome identification. I am a classically trained dysmorphologist, and internationally recognized as an expert in this field. I have written several book chapters and invited reviews on the dysmorphic assessment, and have given numerous seminars (well over 200) on the subject. This includes several at the Board Review Courses for both the American College of Medical Genetics and Neonatology, as well as many national meetings, including several Otolaryngology society meetings. I have included reprints from two reviews in the Appendix. I have also edited the genetics section of the Cleft and Craniofacial Journal, and serve on the Board of Directors for the Velocardiofacial Syndrome Educational Foundation.

The second area is the incorporation of genetic testing in to new areas of medicine, particularly in otolaryngology and adult cardiology. In this effort I have developed clinical collaborations here at UAB with Otolaryngology and Cardiology. Included in this is the Marfan syndrome clinic, which has grown dramatically since its inception. Taken together, I am the busiest clinician in our department in terms of number of patients seen, despite the fact my clinical FTE is 55%.

Clinical Service Activities

1. Attend on the consultation service (19-26 weeks on-call per year).
There has been a dramatic increase in the number of genetics consults since my arrival in 2003.
2. General Genetics clinics (3 per week).
I have dramatically altered the scheme by which I see patients in general genetics, which resulted in a 147% increase in clinical volume in one year.
3. Attending geneticist, UAB Cleft and Craniofacial Clinics (weekly).
This is one of the biggest cleft clinics in the US, and we have established genetics as a vital part of the effort.
4. Marfan syndrome clinic (2 days per month)
This clinic has grown in 3 years from a 3 patients per month effort to 20+ patients per month, with a 6 month waiting period.
5. Genetics of hearing loss.
While not a separate discrete clinic, I have developed a clinical program for the genetic evaluation and testing for hearing impaired children and adults. Not only has this expanded and enhanced the clinical care for these patients, it has produced substantial research and educational opportunities as well.
6. Supervision of genetic counselors (several per month)
I supervise the genetic counselors in several clinics, including a genetic counseling (prenatal and preconception) and cancer genetics clinics

Teaching Portfolio

I am active in medical education at all levels, from the preclinical first and second years of medical school through post-graduate (e.g. residency and fellowship) education, and in continuing education for faculty-level physicians. Furthermore, I teach many non-physician students. These include graduate students at various levels of their training (pre- and postdoctoral students), as well as non-MD health care providers, including audiologists, speech and language pathologists, nurses, and genetic counselors. Similarly, my educational activities vary with the type of student and my role. For some, such as the first year medical student course Fundamentals I and the Medical Genetics residency programs, I not only function as a hands-on teacher but I also have designed the curriculum and served as the course or residency director. In other venues, such as grand rounds, clinical conferences, or bedside teaching, I function as a lecturer or discussion leader.

Medical student education.

1. Led the effort to design and implement the “new” curriculum at UABSOM
2. Course master for Genetics in Medicine (MS1 course) 2005-6
3. Co-director for Fundamentals I module 2007-present
4. Director, Adult Genetics (Special Topics class)
5. Lecturer on genetics topics throughout years 1-2
6. Lecturer in MS3 year: Pediatrics and Internal Medicine

Medical Genetics Residents.

Program Director, Medical Genetics Residency Programs

Research Portfolio

My research interests and activities have developed from my experiences in clinical care. During my fellowship in Human Genetics I was involved in molecular genetic research, studies that were aimed at mapping the genes associated with several known genetic disorders. During those two years I had considerable success in my lab work, with several first-author papers in journals such as Nature Genetics and Human Molecular Genetics. However, while I enjoyed my research experience, I realized that I wanted foremost to be a clinician. Furthermore, I also learned during this time that I could not be both a successful laboratory-based researcher and an astute clinician. I therefore chose to focus my research on clinical questions. And while my research activities are diverse in their specific topics, they can be grouped in to several broad categories.

1. Craniofacial genetics and genetic syndromes. One major research interest has been to further classify and delineate genetic disorders. My primary focus has been on craniofacial disorders, including not only genetic syndromes but also specific malformations, such as cleft lip and palate and craniosynostosis. However, I have been involved in a number of clinical studies on other types of genetic disorders in which I have described or further characterized a clinical phenotype.

Currently, I am involved in several craniofacial-related research projects. These are collaborative efforts. For one set I am working with Dr. Jeffrey Murray at the University of Iowa under a P50 grant on which I am a co-PI/subcontractor. The goal of the project is to investigate the genetic and environmental causes of oro-facial clefting. I am involved in identifying and recruiting appropriate participants for his gene discovery studies, as well as carrying out two independent studies. The first seeks to identify the role of known several genes known to be associated with isolated clefting in the occurrence of clefting in genetic syndromes such as velocardiofacial syndrome and Stickler syndrome. The second project is looking at whether the same genes influence the outcome of cleft palate surgery. In another study I am working with our craniofacial team (Drs. John Grant, Peter Ray, and Jeffrey Blount) to track the referral accuracy for children with asymmetric head shape.

2. The use of genetic testing. My interest in this area was also born directly out of clinical experience. As a junior faculty member I recognized that genetic testing was soon to become clinically useful in the evaluation of deaf and hard of hearing individuals. This interest has grown in several separate directions, as I have carried out studies involving genetic testing for deafness, as well as more recent work on genetic testing for adult cardiovascular disease and mental retardation. A common theme has been that the expanding role of genetic testing in clinical practice will provide a challenge to non-genetics healthcare providers, as they are not familiar with the special issues of medical genetics, including the genetics evaluation, genetic counseling, and genetic testing. This has prompted the majority of my work in the last few years, including several grants on which I was the principal investigator.

Several studies will be published in 2007. One was on the interest of African-Americans in genetic testing for deafness, which was funded by an RO3. Another was a study on deafness in cystic fibrosis, which was funded by a cystic fibrosis foundation award.

I am in the midst of studies that are examining several of these interrelated issues. We have recently completed several survey-based studies that investigated how various healthcare providers utilize genetic testing. One, entitled “Pediatric Otolaryngologists’ Use of Genetic Testing,” will be published in 2007. Another, on how primary care pediatricians in Alabama utilize genetic testing in the evaluation for mental retardation, was recently completed, and a third, on how cardiologists utilize genetic testing in their evaluation of Long QT syndrome, will be completed in 2007. Lastly, I am also engaged in research aimed at improving how we teach medical genetics to medical students. During the 2006 Genetics in Medicine course we piloted a program in which we gave medical students the opportunity to role-play. Students were given a clinical scenario in which they underwent genetic testing, and told to make an appointment with one of the UAB genetic counselors at which time they would be told the test result and receive genetics counseling. Pre- and post-test surveys of this group as well as the students who did not volunteer for the program were done in an effort to gauge how effective this program was in teaching them about the genetic counseling process.

SAMPLE

Date

Personal Information

Name:
Citizenship:
Foreign Language(s):
Home Address: Phone:

Rank/Title

Department:
Business Address:
Phone:
Fax: Email:

Hospital And Other (Non Academic)Appointments:

Professional Consultantships:

Education:

Institution: Degree Year

Military Service:

Licensure:

Board Certification:

Postdoctoral Training:

Year Degree Institution

Academic Appointments: (In reverse chronological order)

Year Rank/Title Institution

Awards/Honors:

Professional Societies:

Memberships:

Councils And Committees:

University Activities:

Editorial Board Memberships:

Major Research Interests:

(2-3 Sentences)

Teaching Experience:

Major Lectures And Visiting Professorships:

Grant Support: (Past and current--include year(s) of funding, amount of funding, PI on award, role on award if not PI)

Other:

Bibliography:

Manuscripts:

Manuscripts already published

Manuscripts in press

Manuscripts submitted but not yet accepted

Manuscripts in preparation

Other publications (letters to the author, book reviews, etc.)

Books:

Books and Book Chapters

Published Abstracts**Poster Exhibits****Oral Presentations**

Scientific papers presented at national and international meetings

Scientific papers presented at local and regional meetings

Invited workshops, etc. at national postgraduate courses and meetings and at other universities.

Invited lectures at local and regional courses and meetings

Miscellaneous:

Films, educational tapes, syllabi, software packages and courses developed, etc.

Faculty Appointment, Promotion and Tenure Award Guidelines
UAB School of Medicine
September 2014

Departmental Appointment, Promotion and Tenure (APT) Committee Guidelines

1. Committee members should be full-time faculty at the Associate Professor and Professor ranks.
2. The APT committee will consist of a minimum of three committee members.
3. Department Chairs may not serve on the departmental APT committee.
4. Chair of the departmental APT committee should be elected by the committee members in consultation with the Department Chair.
5. Members of the committee should rotate off on a regular basis if feasible.
6. The Departmental APT process will include an avenue of appeal.
7. Only the committee members at or above the rank of the faculty member being considered will be allowed to vote for promotion. Only tenured faculty may vote on the granting of tenure.
8. The Department Chair may invite faculty outside of the Department, but within the University of Alabama School of Medicine (SOM) to serve on the departmental APT committee if there are not enough faculty of the appropriate rank and tenure status to constitute a committee.

Appointment and Promotion Guidelines

Faculty member contributions to activities in the areas of research, teaching, and service are evaluated for promotion and tenure. All faculty members are expected to be engaged in scholarly activities that support the areas of research, teaching, and service in ways that are consistent with their unique roles. However, there is an expectation of excellence in these areas for those faculty members seeking tenure or promotion. This excellence is closely related to scholarship and includes peer review or recognition. Individuals appointed in the tenure-earning (TE) track are expected to demonstrate excellence or potential for excellence in at least two of these three areas; those in the non-tenure (NTE) track are expected to demonstrate excellence or potential for excellence in any one area. For promotion, individuals in the tenure-earning (TE) track are expected to demonstrate excellence in at least two of these three areas; those in the non-tenure earning (NTE) track are expected to demonstrate excellence in any one area. While promotion is based upon achieving excellence in two (TE) or one (NTE) area(s), faculty must show some evidence of scholarly activity and/or accomplishments in all areas, including the non-focus areas.

Assistant Professor

Promotion to this rank usually required the following:

- Two or more years of work experience following receipt of Doctorate.
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the SOM.
- An expectation of collegiality and participation in service in the Department and/or SOM.
- Demonstration of potential for scholarship in the areas of research, teaching, or service.

Associate Professor

Promotion to this rank usually requires the following:

- Three or more years in the rank of Assistant Professor.
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the SOM.
- Demonstration of collegiality and involvement in the Department and/or SOM.
- Evidence of scholarship in the areas of research, teaching, or service, documented by peer recognition at a national level.

Examples of activities that are consistent with the above guidelines follow for each of the three academic activities:

Research

1. Demonstration of initiative and independence in research activities in basic or translational science, clinical, outcomes, quality improvement or population-based research.
2. Publication of independent research findings and scholarly papers in peer-reviewed journals.
3. Obtaining grants and/or contracts for support of research.
4. Participation as a member of large research team(s), providing documented critical scientific contribution(s) or serving in a leadership role in directing the research.
5. Presentation of research and other scholarly findings at scientific and professional meetings.
6. Service on thesis or dissertation committees.

Teaching

1. Demonstration of mastery of content and method, documented by student and peer evaluation. All teaching activities should receive consideration.
2. Taking responsibility for the design, organization, coordination, and evaluation of an educational program.
3. Developing and/or presenting effective continuing education or other professional programs, including invited presentations.
4. Providing effective supervision, guidance, and/or counseling to trainees, including graduate students, postdoctoral fellows, and/or house officers.
5. Participation in educational program planning and general curricular activities.
6. Publication of papers and/or presentations at professional meetings on topics related to education.
7. Demonstration of innovation in teaching methods and production of texts, educational software or courseware.
8. Receipt of recognition as an exemplary scientist or clinician whose mentoring and teaching activities provide an outstanding role model for students.
9. Serving as principal investigator on grants or contracts for educational projects.

Service

1. Providing measurably excellent clinical productivity and exemplary patient care.
2. Providing demonstrable leadership or initiative in administrative or committee roles that

augment the missions of the Department and/or SOM in clinical care, research, and/or education such as originality in problem solving, authorship of guidelines or quality reports and policies.

3. Providing staff responsibility for a service or specific area of patient care.
4. Providing demonstrable leadership in quality improvement/assurance or patient safety initiatives.
5. Serving as critical member or director of a research core laboratory.
6. Serving on committees with the department, school, university and/or affiliated institutions.
7. Engaging in mentoring junior faculty colleagues.
8. Serving on committees to develop clinical practice guidelines or to formulate healthcare policies.
9. Providing service to the professional or lay community through education, consultation or other roles.

Professor

Promotion to this rank usually requires the following:

- Distinguished performance as an associate professor, at least 3-5 years in rank.
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the SOM.
- Demonstration of collegiality, involvement, and leadership as a citizen of the Department and/or SOM.
- Evidence of sustained scholarship and productivity in the areas of research, teaching, or service.
- Demonstration of national or international recognized excellence in the conduct of academic duties.

Examples of activities that are consistent with the above guidelines follow for each of the three academic activities:

Research

1. Continued demonstration of initiative, independence, and sustained activity in basic science, clinical, outcomes, quality improvement or population research.
2. Sustained productivity as author of papers reporting independent research findings in peer-reviewed journals.
3. Record of sustained ability to obtain grants and contracts for support of research.
4. Receipt of recognition of excellence in research by professional or scientific institutions or organizations.
5. Continued critical contribution(s) to large research team(s).
6. Receipt of invitations to preside over sessions at national or international or scientific meetings.
7. Participation in external review committees, study sections, or service as editor of scientific or professional journals.

Teaching

1. Sustained and outstanding performance in the examples cited for the associate professor level.
2. Leadership through design, organization, coordination, and evaluation of educational programs.
3. Administrative responsibility at the school or departmental level for curriculum
4. Leadership in continuing education or other professional programs; invitations as visiting professor at other institutions.
5. Supervision of staff teaching within a course, division, department, or within the school.
6. Sustained productivity in publication of papers and/or presentations at professional meetings on topics related to education.
7. Sustained innovation and leadership in production of texts, educational software, or courseware.
8. Record of sustained ability to maintain external funding to support innovative educational projects.
9. Sustained recognition as an exemplary scientist, teacher or clinician whose activities provide an outstanding role model for students.

Service

1. Continued demonstration of excellence of measurably excellent clinical productivity and exemplary patient care.
2. Sustained exemplary leadership in administrative committee roles that augment the missions of the Department and/or SOM in clinical care, research and/or education such as originality in problem solving, authorship of guidelines or quality reports and policies.
3. P r o v i d i n g s u s t a i n e d responsibility for a service or specific area of patient care or clinical teaching.
4. Sustained excellence in the leadership of quality improvement/assurance or patient safety initiatives.
5. Recognition as an authority by other schools and departments within UAB and by local, state, regional and national organizations or institutions.
6. Appointment to responsible position(s) within the institution or its affiliates (e.g., chairs a committee, department, or division; membership on major Department or SOM committees).
7. Extensive and excellent mentorship of faculty colleagues.
8. Continued service on committees to develop clinical practice guidelines or to formulate regional or national healthcare policies.
9. Election to responsible positions on civic boards or organizations concerned with health care issues at the local, state, regional, national or international levels.

Tenure Guidelines

Any faculty member appointed to a tenure-earning faculty position shall have a maximum of ten years to earn tenure. This period will begin on the first day of October after the appointment on the tenure-earning track. If tenure has not been awarded in the ninth year, the appointment for the final year shall be a terminal appointment. To qualify for consideration of tenure during the terminal year, the individual must have been considered for tenure prior to the terminal year. Therefore, a promotion packet must be submitted for all faculty members in their ninth year on

this track if tenure has not been awarded and if they chose to remain on the tenure track. Tenure decisions are made separately from appointment or promotion decisions. These decisions may be made at the same time or at separate points in time. Criteria for granting tenure include the following:

- Achievement of rank of at least Associate Professor.
- Academic credentials consistent with the missions of the department and the SOM.
- National reputation reflected by peer recognition, presentations at national professional meetings, and productivity in published works.
- Evidence of positive institutional citizenship, manifest as effective participation in service activities, mentoring of more junior colleagues, support of university missions and values, collegiality and leadership initiative.
- Evidence of sustained, significant scholarship in at least two of three areas, including research, teaching, and service.

Faculty Council

The Faculty Council will serve as the Appointment, Promotion and Tenure Committee for the School of Medicine. This group will review and approve the initial appointment of all incoming faculty members of the School of Medicine. Additionally, the Faculty Council will review all applications for promotion and tenure made by School of Medicine Faculty members. The composition and function of the Faculty Council is described below as outlined in the SOM by-laws.

The Faculty Council shall consist of Nineteen (19) full-time faculty members. Fourteen (14) members are elected by the faculty and the Dean shall appoint five (5) members. Department chairs may not serve as members and the Senior Associate Dean of Faculty Affairs and Professional Development shall serve as an ex-officio, non-voting member. The Dean shall invite nominees for the elected positions and will construct a ballot of eligible faculty for distribution to and election by all regular faculty members.

The Faculty Council will recommend a Vice-Chair who will be appointed by the Dean. This individual must have previously served as a regular member of the Faculty Council for at least one three-year term. This prior service may have occurred in an early appointment to the Faculty Council. With the endorsement of the Faculty Council membership and the approval of the Dean, the Vice-Chair will become the Chair. The term of service for the Vice-Chair and Chair is three years. The individual selected as the Vice-Chair should alternately be from a Joint Sciences and Clinical Department. Terms of appointment for faculty are three (3) years with one possible three (3) year renewal. The term of the Vice-Chair shall be extended so that they may serve one term as Chair. It is the responsibility of the Faculty Council to review each application applying the standards described previously.

Scholarship and Scholarly Activity

The SOM has a multifaceted mission that includes providing healthcare, conducting research, applying new knowledge to improve healthcare and delivery, and educating healthcare providers. This mission requires the commitment of a diverse faculty who are engaged in a full range of scholarly activities. As articulated in contemporary conceptualizations of scholarship^{1,2} this range of activities includes the scholarship of discovery, application, teaching, and integration. The scholarship of discovery, teaching, and application relate directly

to the SOM's major missions in research, teaching, and service. The scholarship of integration is related to all three areas and should be considered relative to contributions in the three primary areas.

While overlap may exist, a distinction exists between scholarly activity and scholarship. For example, delivering a good lecture in a medical school course is expected of a faculty member and is an example of scholarly activity. To qualify as scholarship in teaching, it is expected that the faculty member publically disseminate the development of new courses, curriculum, and/or approach to teaching through publication or website posting. In service, a distinction can be made between a faculty member who provides competent clinical service as scholarly activity and one who is viewed as an authority in a specific area of clinical medicine as scholarship. Scholarly activity in research includes delivery of scientific presentation at regional, national, and international meetings or universities. Scholarship in research is achieved through peer reviewed publication of newly developed techniques, methods, or novel scientific discoveries. Application of the same method in support of the research mission of the SOM might be an example of scholarship in service if this method was judged by the faculty member's peers to be integrally important to the research mission.

Scholarship of Discovery

"...the scholarship of discovery...comes closest to what is meant when academics speak of "research". No tenets in the academy are held in higher regard than the commitment to knowledge for its own sake, to freedom in inquiry and to following, in a disciplined fashion, an investigation wherever it may lead... Scholarly investigation...is at the very heart of academic life, and the pursuit of knowledge must be assiduously cultivated and defended."

Scholarship of Teaching

"When defined as *scholarship* ...teaching both educates and entices future scholars. As a *scholarly* enterprise, teaching begins with what the teacher knows...Teaching is also a dynamic endeavor involving all the analogies, metaphors, and images that build bridges between the teacher's understanding and the student's learning...Further, good teaching means that faculty, as scholars, are also learners... In the end, inspired teaching keeps the flame of scholarship alive...Without the teaching function, the continuity of knowledge will be broken and the store of human knowledge dangerously diminished."

Scholarship of Application

"The third element, the application of knowledge, moves toward engagement as the scholar asks, 'How can knowledge be responsibly applied to consequential problems? How can it be helpful to individuals as well as to institutions?'...To be considered scholarship, service activities must be tied directly to one's special field of knowledge and relate to, and flow directly out of, this professional activity. Such service is serious, demanding work, requiring the rigor-and the accountability-traditionally associated with research activities."

Scholarship of Integration

"By integration, we mean making connections across the disciplines, placing the specialties in larger context, illuminating data in a revealing way, often educating non-specialists, too... Today, interdisciplinary *and* integrative studies, long on the edges of academic life, are moving toward the center, responding both to new intellectual questions and to pressing human problems. As the

boundaries of human knowledge are being dramatically reshaped, the academy surely must give increased attention to the *scholarship of integration*.”

References:

1. Boyer, E. L. (1990). *Scholarship reconsidered: Priorities of the professoriate*. Princeton University Press, 3175 Princeton Pike, Lawrenceville, NJ 08648.
2. Glassick, C. E., Huber, M. T., Maeroff, G. I., & Boyer, E. L. (1997). *Scholarship assessed: Evaluation of the professoriate*. San Francisco: Jossey-Bass.

Section 6: Termination, Retirement, and Emeritus Appointments

Termination
Retirement
Emeritus Appointments

Termination and Retirement

Documentation Required:

1. Faculty Data Form
2. ACT document, should include the forwarding address of the faculty member
3. Letter of resignation

Note: Ensure eLAS balances are certified

For more information on resignation see the UAB Faculty Handbook (<http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx>).

Emeritus Appointments

After ten or more years of service with The University of Alabama System, or with less service upon having made an exceptional contribution to UAB or the System, a faculty member may be considered for appointment to emeritus status.

An emeritus appointment to a faculty rank may become effective only after the faculty member retires or no longer holds the full-time position. An academic administrative emeritus appointment, such as Dean Emeritus, may be conferred at such time that the faculty member resigns from that academic administrative appointment, even though the faculty member may continue to hold a full-time faculty position at UAB until the time of retirement.

An appointment to emeritus status should be initiated at the departmental level with preparation of the UAB Agenda Item Recommendation Form. Accompanied by the faculty member's curriculum vitae, Board resolution and a cover memorandum delineating justification for the appointment, the form should be sent through the offices of the appropriate dean(s) and Provost, and forwarded to the President. When the appointment has been approved by the President, the form will be forwarded to the Office of Human Resources, and notification will be sent to the faculty member. The appropriate personnel documents should be processed by the department according to university and Human Resources guidelines. Appointment to emeritus status is campus-specific. Current practice is for emeritus status to be approved by the Chancellor and the Board of Trustees.

Certain privileges will be inherent in emeritus faculty status. An identification card will be furnished to the person for use in the libraries, recreation center, bookstore, and campus dining facilities, and a guest-parking permit (annually renewable) also will be made available. Any faculty fees and charges for use of these facilities shall be applied to emeritus faculty. At the

discretion of the appropriate dean or department chair, laboratory or office space may be assigned, if such is available.

Re-employment of retired faculty members is allowed within the limits set by the UAB “Policy Concerning the Re-employment of UAB Retirees.”

The following link <http://www.uab.edu/boardliaison/> to the Board Liaison’s website details the process for submitting a recommendation for appointment of faculty to emeritus status. A detailed description of processing Emeritus appointments is provided by the Provost’s Office. Proposals should be sent to Terri Brown, SOM Dean’s Office FOT 1207, by the appropriate deadline. Emeritus appointment deadlines are different from the other BOT appointment deadlines

For more information on Emeritus Appointments see the UAB Faculty Handbook (<http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx>).

Sample Resolution

WHEREAS, (name of person) retired on (date) as (title) of the (departments) at the University of Alabama at Birmingham after (number of years) of loyal and dedicated service to the University; and

WHEREAS, (name of person), a native of (name of city, state), was awarded a (1st degree) from (university) in (year), a (2nd degree) from the (university) in (year), and (3rd degree) from (university); and

WHEREAS, after an initial (number of years) appointment at (location) he/she continued his/her academic (medical) career in the (department) at (location) serving there for the next (number of years) during the period (year to year) and attaining the rank of (rank); and

WHEREAS, (name of person) assumed the (title) of (department) of the University of Alabama School(s) of Medicine (and Dentistry) in (year) and served with distinction in that capacity for (number of years) until (year); and

WHEREAS, he/she has continued as (rank) in the (department) until (date) when he/she retired from the active faculty; and

WHEREAS, (name of person) has held membership in a number of professional and scholarly organizations, including the (name of organizations); and

WHEREAS, he/she is the principal author or co-author of some (number) scientific papers that have been published in national prestigious journals; and

WHEREAS, (name of person) has been recognized for excellence (name of awards received and for what); and

WHEREAS, he/she served as a member of a number of University committees, including (name committees); and

WHEREAS, his/her community service activities include serving as (offices served and name of organizations); and

WHEREAS, (name of person) has exhibited only excellence during his/her tenure as (teacher, scientist and/or administrator) and he has been recognized by University (students, staff, and/or faculty) as a warm, compassionate, highly principled, and dedicated human being; and

WHEREAS, THIS Board is pleased to note that (name of person) has been honored with the appointment of Professor Emeritus, further recognition of the high esteem in which he/she is held by his/her colleagues;

NOW THEREFORE, BE IT RESOLVED by The Board of Trustees of The University of Alabama that it hereby expresses its appreciation to (name of person) for his/her many significant contributions to the disciplines of (name of disciplines), to the UAB academic and/or (medical) community, and to the (teaching, research and/or service programs) of the University of Alabama.

BE IT FURTHER RESOLVED THAT this resolution be spread upon the permanent minutes of this Board, and that copies be presented to (name of person), his/her wife/husband, (name of wife/husband), to his/her children, (name of children), and to other members of his/her family.

Section 7: Administrative Responsibilities and Accountabilities

University of Alabama at Birmingham School of Medicine By-laws regarding:

Clinical Chairs
Basic Science Chairs
Center Directors
Department APT Review Committee
Faculty Council

Adopted: December 17, 1962
Amended: 1963, 1967, 1968, 2005, 2014

By-Laws For the Staff and Faculty University of Alabama at Birmingham School of Medicine

The faculty of the School of Medicine shall be comprised of all persons with rank of Instructor and higher. All persons with academic appointments may attend meetings of the faculty and participate in discussion. Voting privileges and committee assignments shall be limited to those with the rank of Instructor and above. Special faculty (clinical, adjunct, and visiting) do not have voting privileges, but may serve as ad hoc members of committees.

To view the SOM By-Laws, please click this link:

http://www.uab.edu/medicine/home/images/faculty/som_bylaws.pdf.

Section 8: Forms

The following list includes all forms required for hiring:

Appointment Action Summary Form
Faculty Practice Form
Checklist for Recruitment and Employment
Faculty Recruitment Experience Report Form
UAB Compensation Approval Recommendation Form
Faculty Data Form
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Section 9: Additional Links

For all personnel questions, please see the UAB Faculty Handbook online at <http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx>

For other general human resources questions, refer to the You & UAB Handbook online at <http://www.uab.edu/humanresources/home/policies/handbook>

For questions concerning conflicts of interest, see the Conflict of Interest Review Board website at <http://www.uab.edu/research/administration/offices/cirb/Pages/default.aspx>

For concerns of Employee Falsification of Records, see <http://www.uab.edu/policies/content/Pages/UAB-AD-POL-0000255.aspx>

For the policy on UAB's Ethical Standards in Research, see <http://www.uab.edu/policies/content/Pages/UAB-AD-POL-0000263.aspx>

For UAB's Family and Medical Leave Policy, see <http://www.uab.edu/policies/content/Pages/UAB-FA-POL-0000065.aspx>

For information on UAB's reimbursement policy, see <http://www.uab.edu/policies/content/Pages/UAB-AD-POL-0000089.aspx>

For all questions regarding use of animals, please refer to the UAB Animal Resources Program website at <http://www.uab.edu/research/administration/offices/ARP/Pages/default.aspx>

For information regarding human subjects in research, see the UAB Institutional Review Board website at <http://www.uab.edu/research/administration/offices/IRB/Pages/Home.aspx>

For information about Effort reporting and relevant policy, see <http://www.uab.edu/compliance/areas-of-focus/effort-reporting> and <http://sppublic.ad.uab.edu/policies/Pages/LibraryDetail.aspx?pID=48&Source=http://sppublic.ad.uab.edu/policies/Pages/PolicyListName.aspx?pAN=E>