Faculty Handbook and Faculty Bylaws

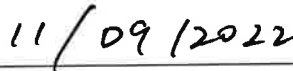# The University of Alabama at Birmingham
School of Health Professions
Faculty Handbook and Faculty Bylaws

Approvals

<u>SHP Faculty</u>

_____   _____11/09/2022_____
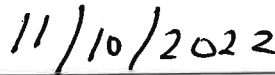
Haiyan Qu, PhD,   Date
Chair of Faculty Affairs Committee

<u>Dean, School of Health Professions</u>

_____   _____11/10/2022_____

Andrew J. Butler, PhD   Date
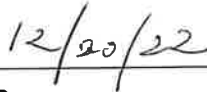

<u>Office of the Provost</u>

_____   _____12/20/22_____

Pam Benoit, PhD   Date

Summary of Changes from 2021 Version:

1.2 SHP Mission Statement – Make wording consistent with 2021 Strategic Plan

2.1 – Removed "Faculty of the" from the organization name to reflect the organization as SHP

2.3.1.9 Standing Subcommittees – Addition of new University Attribute Subcommittee

3.1.A – Removed "within and" from the first sentence to avoid redundancy

3.2 Composition – Wording to reflect all undergraduate programs (addition of undergraduate programs forthcoming)

5.1.6 Guidelines from Promotion and Tenure Award – Clarification of the process

Appendix A.II.C.1.a. – Added "or appointed by the department chair" to reflect administrative procedures within the departments

Appendix B SHP Promotion and Tenure Process Timeline – Clarification of the process

Appendix E – Addition of SHP Faculty resource links

Entirety of document – Removed gender-specific pronouns

Entirety of document – Corrected lettering and numbering of sections

Table of Contents

1. INTRODUCTION

The School of Health Professions *SHP Faculty Handbook and Faculty Bylaws* is a supplement to the University of Alabama at Birmingham's current online *UAB Faculty Handbook and Policies*.

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

1.1. EQUAL EMPLOYMENT OPPORTUNITY POLICY

The SHP abides by the Equal Employment Opportunity Policy of UAB (refer to the current *UAB Faculty Handbook and Policies*, Section 2.1.)

1.2. SHP MISSION STATEMENT

Improving the health and well-being of people everywhere through exceptional, collaborative, and innovative teaching, research, and service.

2. SHP FACULTY BYLAWS

2.1. NAME AND PURPOSE

The name of this organization shall be the School of Health Professions (SHP), hereinafter referred to as the "School," of the University of Alabama at Birmingham (UAB).

The faculty, administration, and students will participate together in the development of faculty, academic, and student-related policies concerning the School. The standing committees of the School will be the formal mechanisms for accomplishing this purpose in accordance with the established policies of the UAB.

2.2. SCHOOL GOVERNANCE

The School is comprised of five departments for the purpose of personnel matters. The departments have chairs serving as unit administrators who report to the Dean.

2.2.1. DEAN

The Dean of the School is the chief administrative officer, and the duties include:
   A. Performing the duties of Dean as prescribed by the Provost and the President.
   B. Ensuring that all academic administrators, faculty and staff in the School comply with the *UAB Policies and Procedures*, and those published in the current *UAB Faculty Handbook and Policies*, *You and UAB Handbook*, and *Biosafety Manual.*
   C. Ensuring the School policies reinforce UAB policies related to student actions and procedures.
   D. Serving as an ex-officio member of the School's standing committees and any ad hoc committees of the School. The dean may delegate this responsibility to

assistant or associate deans.

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

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

G. Fundraising from corporate and philanthropic sources.

H. Developing and implementing the overall strategic direction for the School.

I. Fostering and preserving relationships with School alumni.

2.2.2. ADMINISTRATIVE STAFF

The Dean of the School may appoint Associate and Assistant Deans to aid in the administration of the School and its activities. The Dean shall define the duties of these appointees and inform the faculty and staff of such duties so as to facilitate School operations. The Equity Advisor is appointed by the Dean.

The duties of the Department Chairs shall include:

A. Serving as the administrative officer of the department.

B. Informing faculty of information from the Provost and/or the Dean concerning personnel actions such as tenure, promotion, and reappointment, and ensure compliance with the current *UAB Faculty Handbook and Policies*, the UAB Personnel Policies for Faculty, and the *SHP Promotion and Tenure Guidelines.*

C. Evaluating annually, each faculty member's performance in teaching, research/scholarship, and service.

D. Documenting progress toward tenure and/or promotion.

E. Maintaining up-to-date administrative records as appropriate and in compliance with *UAB Faculty Handbook and Policies*, *You and UAB Handbook*, and other UAB Policies.

F. Requiring compliance by all faculty, staff, and employed personnel in research or teaching related environments with the UAB Safety and Biosafety Policies and Handbooks concerning safety policies, laws, regulations and guidelines, and ensure that all students are instructed in safety procedures for teaching and/or clinical situations.

G. Fundraising from corporate and philanthropic sources.

H. Fostering and preserving relationships with departmental alumni.

2.2.3. THE FACULTY

2.2.3.1. COMPOSITION

The faculty is comprised of all persons holding any official faculty appointment in the School. The faculty ranks shall be professor, associate professor, assistant professor, and instructor.

The terms clinical, adjunct, part-time, temporary, irregular, visiting, and emeritus may qualify these ranks to denote different classifications of faculty status. In addition to the regular and other faculty classifications as defined in the current *UAB Faculty Handbook and Policies*, the academic programs and administration of the School maintain voluntary faculty appointments. The voluntary faculty may or may not be

UAB employees and usually are not paid on the regular payroll of the School.

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

2.2.3.2.   DUTIES

The duties of the faculty shall include:
A. Prescribing, within the guidelines established by the UAB and the appropriate professional accrediting bodies, the general standards for admission to, and completion of, the programs of the School.
B. Promoting and participating in research, scholarship, and service activities as appropriate to the faculty member's discipline and assignments.
C. Conducting the educational programs of the School, including non-credit and professional development education.
D. Participating regularly in activities that will serve to maintain competencies in education and/or research in the respective disciplines.
E. Recruiting, selecting, and admitting students to undergraduate and graduate degree programs offered by the School.
F. Advising on and monitoring practices to retain students admitted to the undergraduate and graduate programs offered by the School.
G. Recommending students as candidates for degrees and/or certificates as appropriate.

2.2.3.3.   MEETINGS

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

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

2.2.3.4.   DECISIONS

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

Upon the recommendation of FAC, matters requiring action between scheduled meetings of the full faculty may be decided by electronic vote. All such actions shall be reported at the next meeting for documentation in the minutes.

2.2.3.5.   QUORUM

Forty (40) percent of the full-time regular SHP faculty with primary appointment, excluding clinical, adjunct, part-time, temporary, secondary, voluntary, lecturer, and

emeritus, as of the date of any general meeting shall constitute a quorum for the transaction of general business.

2.2.3.6. PARLIAMENTARY AUTHORITY

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

2.2.3.7. AMENDMENT

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

2.3. STANDING COMMITTEES

Standing committees shall be the Academic Affairs Committee (AAC), the Faculty Affairs Committee (FAC), the Diversity, Equity, and Inclusion Committee (DEIC), and the Student Affairs Committee (SAC).

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

3. ACADEMIC AFFAIRS COMMITTEE

3.1. FUNCTION

The function of the Academic Affairs Committee (AAC) shall be to review written proposals and make comments and recommendations concerning the academic and non-credit education programs in the School. Final decisions of the AAC shall be in the form of recommendations to the Dean and/or the proposing department as determined by the nature of the review.

Recommendations on proposals that require further review by University committees or external agencies will be provided to the proposing department for their records and submitted to the Dean for approval to move forward. Examples of such reviews include:

- New degree or certificate programs or discontinuance of existing programs.
- Scholastic requirements of the School.
- General degree and certificate requirements of the School.

- Admission, probation, and suspension policies of the School.
- Other proposals requiring review by University committees or oversight agencies.

Comments and recommendations from the AAC shall be provided to the proposing department regarding:

- New course offerings, major revisions to existing courses and deletions of existing courses.
- Non-credit education and professional development programs.
- Modifications to current curricula, such as sequencing, course credit allocation, admission standards, and other information related to degree requirements.
- Other proposals as appropriate for AAC review.

Policies and procedures that provide guidelines for the review process are included in the Academic Affairs Committee's *Policies and Procedures Handbook*.

3.2. COMPOSITION

The AAC voting membership shall consist of full-time regular faculty members elected or appointed from academic departments sponsored or co-sponsored by SHP. One ex-officio, non-voting member will be the Associate Dean for Academic and Faculty Affairs or other dean's designee.

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

Each School department shall have three representatives to serve on the AAC. Members may be represented at meetings by a proxy, an AAC member from the same department, who shall vote on their behalf. Additional appointments to the Graduate and Undergraduate Subcommittees may be made by the Associate Dean for Academic and Faculty Affairs or other dean's designee to meet the annual review needs of the AAC. The appointed members do not have voting privileges for AAC business.

3.3. TERM OF MEMBERSHIP

Each member shall serve a term of three years and may be re-elected. When necessary to meet review needs that cannot be handled by members with three-year terms, additional members may be appointed with one-year terms. The term shall be from August 1 of the first year to July 31 of the third year, or until a successor has been elected. A list of current committee members by department represented and term shall be maintained in the Associate Dean for Academic and Faculty Affairs Office and posted on the web page for the AAC.

3.4. VACANCY

Vacancies shall be filled by appointment of the Associate Dean for Academic and Faculty Affairs or other dean's designee and shall be for the time remaining in the vacated term.

3.5. OFFICERS

The officers of the AAC shall be the chair and vice-chair.

3.5.1. QUALIFICATIONS

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

3.5.2. TERM OF OFFICE

The officers shall serve a one-year term and may be re-elected. The chair and vice-chair shall be elected at the first meeting of the fall term each year. The newly elected officers shall take office at the August meeting.

3.5.3. DUTIES OF OFFICERS

The chair shall call and preside at all regular and special meetings of the AAC. The vice-chair shall fulfill the duties of the chair in the absence of the chair.

3.6. MEETINGS

Regular meetings shall be held monthly on a standing schedule. Additional meetings may be called by the chair of the committee or by a majority of the AAC members. Members are expected to attend all meetings. All meetings will be open so that any SHP faculty may attend. The business of the AAC may be conducted using a virtual workspace at the discretion of the chair.

3.7. DECISIONS

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

3.8. QUOROM

A majority of the membership, including proxies, shall constitute a quorum, defined as 50% of the voting membership plus one.

3.9. STANDING SUBCOMMITTEES

Standing subcommittees shall be the Graduate Subcommittee, the Undergraduate Subcommittee, and the Non-Credit Education Subcommittee, and the University Attribute Subcommittee. The chairs of the subcommittees, appointed by the chair of AAC, shall be selected from the AAC membership. The chairs of the Undergraduate and Graduate Subcommittees shall serve as the SHP representatives to the UAB committees designated to review undergraduate and graduate academic proposals respectively.

4. FACULTY AFFAIRS COMMITTEE

4.1. FUNCTION

A. The Faculty Affairs Committee (FAC) shall consider and make recommendations on all matters as described in Section 2.0 of the current online *UAB Faculty Handbook and Policies*, and as prescribed in the *SHP Faculty Handbook and Faculty Bylaws.*

The committee is charged with making recommendations to the Dean on appointment, promotion, or award of tenure of an individual.

Only tenured faculty, regardless of rank, shall vote on initial appointments with tenure and award of tenure.

Only faculty members, regardless of tenure status, at or above the rank of which the individual under consideration is to be appointed or promoted shall vote on such actions.

FAC is charged with advising the Dean and advocating on behalf of faculty on work-related personnel and quality of life issues.

B. The FAC is charged with ensuring adequate faculty-related personnel procedures in the School. Personnel procedures are prescribed in the *UAB Faculty Handbook and Policies.* The FAC must review and approve the *SHP Promotion and Tenure Guidelines*.

The term 'adequate' implies that there shall be consistency across all SHP departments so that all faculty members are subject to the same policies concerning procedures prescribed in these two UAB Handbooks.

All policies (school, department, or any committee policies) must be consistent with, and never less stringent than, the current *UAB Faculty Handbook and Policies*. All administrators shall comply with the current *UAB Faculty Handbook and Policies* concerning procedures for faculty appointment, reappointment, promotion, or tenure as prescribed in Section 2.11. Before they are put into effect, school and department policies regarding appointment and reappointment must be approved in writing by the appropriate Dean and the Provost.

NOTE: The website for the current *UAB Faculty Handbook and Policies* is identified as the official version. Revisions during the current calendar year are listed in the summary table in the front of the online *Handbook*.

The website for the *You & UAB Handbook* is also considered the official and current version of the University *Handbook*.

The current UAB Human Resource Management Policies and Procedures can be viewed via the *UAB Policies and Procedures Library.*

C. The FAC is charged with the responsibility of ensuring that the *SHP Faculty Handbook and Faculty Bylaws, SHP Promotion and Tenure Guidelines,* and *FAC Policies and Procedures Handbook* are in compliance with the current *UAB Faculty Handbook and Policies.*

Annually, at the completion of the FAC Promotion and Tenure Review Process, any required recommendations for revisions to the School guidelines shall be forwarded to the Dean.

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

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

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

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

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

G. FAC is responsible for submitting a slate of nominees to the Faculty Senate for service as the School's representative to the UAB Faculty Policies and Procedures Committee (FPPC).

H. Additional FAC functions are outlined in the *FAC Policies and Procedures Handbook*.

4.2. COMPOSITION

A. The FAC shall be composed of regular full-time faculty with primary appointments in the School.

B. Membership shall be as follows: each department shall be entitled to one representative for each unit of five (or fraction thereof) current full-time regular faculty with primary appointments as of August 1 each academic year.

Annually, if fewer than five professors are currently serving on FAC then an election among eligible professors shall be conducted to elect a minimum of five professors to serve on the "Professor Promotions Subcommittee" of FAC. It is the responsibility of the FAC Chair and the Associate Dean for Academic and Faculty Affairs or other dean's designee to complete this election process.

Professors elected to serve on this subcommittee function only when a professor rank portfolio is to be reviewed and voted on for recommendation to the Dean.

Any professor elected as a departmental representative to FAC shall participate in all FAC activities in addition to service on the "Professor Promotions Subcommittee."

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

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

D. The FAC members shall be nominated and elected by majority vote of the faculty within their respective departments according to guidelines in the *FAC Policies and Procedures Handbook.*

E. Department Chairs and SHP administrators above department level are ineligible to serve as elected members.

F. The Associate Dean for Academic and Faculty Affairs or other dean's designee shall serve as an ex-officio, non-voting member.

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

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

4.3. TERM OF MEMBERSHIP

A. The term of membership for each elected member shall be three years. The term shall be from August 1 of the first year to July 31 of the third year, or until a successor has been elected.

B. FAC members may be re-elected from their department.

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

D. All elected members are expected to attend and participate in FAC meetings so that their constituent faculty members are fairly represented in the deliberations by the FAC. Absent members may designate another FAC member as proxy except in promotion and tenure decisions.

E. Occupants of non-tenured FAC positions who are awarded tenure during

their term of membership must vacate the position by the next annual committee election so that a non-tenured replacement may be elected.

4.4. VACANCY

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

4.5. EXECUTIVE COMMITTEE

The members of the executive committee of the FAC shall be the FAC Chair, the FAC Vice-Chair, and the Chairs of FAC standing committees as designated in the *SHP Bylaws* Section 2.3.2.9.

4.5.1. OFFICERS' QUALIFICATIONS (Chair and Vice-Chair)

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

4.5.2. OFFICERS' TERM OF OFFICE

The duly elected Vice-Chair shall serve a term of one year as Vice-Chair and then as chair for the following term. The Vice-Chair shall be elected at the August meeting. The Chair and Vice-Chair shall take office at the August meeting of the FAC.

The election of FAC officers shall be as prescribed in the *FAC Policies and Procedures Handbook.* A FAC member may serve multiple terms as Vice-Chair and then Chair if they are duly elected from their department and have continuing terms of service to support the two years of service as an officer of FAC.

4.5.3. DUTIES OF FAC OFFICERS

A. The FAC Chair shall call and preside at all regular and special meetings of the FAC.

B. The FAC Chair shall perform the duties prescribed in the *FAC Policies and Procedures Handbook.*

C. The FAC Vice-Chair shall fulfill the prescribed duties of the Chair in the absence of the Chair and the duties outlined for the Vice-Chair in the *FAC Policies and Procedures Handbook.*

4.6. MEETINGS

Regular meetings shall be held monthly on a standing schedule. Additional meetings may be called by the Chair of the committee or by a written request from at least one-

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

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

All meetings will be open so that any SHP faculty may attend with the exception of discussion of confidential matters such as promotion and tenure reviews.

The business of the FAC may be conducted using a virtual workspace at the discretion of the chair.

4.7. DECISIONS

A. Decisions by the FAC membership will be made by majority vote of members present in compliance with a quorum as defined in Section 2.3.2.8.

B. Voting may occur electronically, with the exception of promotion and tenure decisions.

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

D. For promotion decisions, only FAC members, regardless of tenure status, at or above the rank to which the individual under consideration is to be appointed or promoted shall vote on such actions.

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

4.8. QUOROM

A. The quorum for each meeting of FAC shall be defined as the majority (50% of current membership plus one) of FAC's voting membership and a quorum shall be required for all official votes by FAC.
B. Two-thirds of the tenured FAC members with appropriate rank shall constitute a quorum for matters concerning appointment with tenure, award of tenure, and promotion. Two-thirds of the FAC membership at the appropriate rank shall constitute a quorum for matters concerning promotion-only portfolios for non-tenure earning candidates' portfolios.

4.9. STANDING SUBCOMMITTEES

Standing Subcommittees of FAC shall include:

1. Promotion and Tenure Review Subcommittees
   A. Tenure Subcommittee (includes initial faculty appointment with tenure)
   B. Professor Promotion Subcommittee
   C. Associate Professor Promotion Subcommittee

D. Assistant Professor Promotion Subcommittee

The members of these Promotion and Tenure Subcommittees with the exception of the Professor Promotion Subcommittee shall be appointed from the FAC membership by the FAC Chair with additional appointments by the Dean as needed. The appointments shall be for a one-year term.

The members of the Professor Promotion Subcommittee will include all professors elected to FAC, and additional professors elected by the SHP professors to achieve a minimum of five (5) professors and any professor members appointed by the Dean (if additional appointments are deemed appropriate by the Dean).

The Chairs of the Subcommittees shall be appointed by the FAC Chair. They shall serve a one-year term.

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

4.10. AMENDMENT

Amendments to Bylaws for the FAC shall be made in compliance with the *SHP Faculty Handbook and Faculty Bylaws*, Section 2.2.4.7.

5. DIVERSITY, EQUITY, AND INCLUSION COMMITTEE

5.1. FUNCTION

The School of Health Professions Diversity, Equity, and Inclusion Committee (DEIC) shall formulate recommendations and facilitate activities regarding the awareness and promotion of diversity, equity, and inclusion within SHP and build capacity for embracing these concepts among the SHP faculty, staff, students, alumni and community partners. In the spirit of diversity, equity, and inclusion, the DEIC will strive to include available expertise and the input of other stakeholders (e.g., representatives from other SHP standing committees, representatives from all SHP departments, the UAB Office of Diversity, Equity, and Inclusion) when conducting committee activities. The final decision of the DEIC shall be in the form of recommendations to the Dean of SHP and require the Dean's approval for implementation. The functions of the DEIC shall be to provide recommendations to the Dean and execute approved activities regarding:

A. Enhancing awareness of and facilitating meaningful discussions about diversity, equity, and inclusion issues among SHP Faculty, staff, students, alumni, and community partners. These activities shall be incorporated into departmental activities (e.g., at faculty and staff meetings and retreats) and SHP-wide activities (e.g., SHP Town Halls, interdisciplinary student functions, orientation materials and sessions, ongoing professional development curricula, etc.).
B. Review and suggest revisions of departmental and school-wide policies and procedure manuals to identify and address diversity, equity, and inclusion issues.
C. Explore, recommend, and monitor best practices for recruiting, interviewing, selecting, onboarding and retaining diverse faculty, staff, and students.
D. Promote collaboration among departments addressing targeted student recruitment, retention, and inclusive excellence.

E. Other business as directed by the Dean.

5.2. COMPOSITION

The DEIC voting membership shall consist of representatives from SHP faculty, staff, and student bodies. Specifically, voting members will include one representative (full-time faculty or staff) from each department; two representatives from the UAB Staff Council and six SHP students (three undergraduate and three graduate). The three undergraduate representatives should represent different programs. The three graduate representatives can be from any program but should represent separate programs. Non-voting members of the DEIC will consist of the chairs of the Faculty Affairs Committee, Academic Affairs Committee, Student Affairs Committee, and Wellness Committee, and representatives from Academic and Faculty Operations and SHP External Relations. A non-voting staff liaison will aid the Committee in conducting DEIC activities. Members may be represented by a proxy. Additional appointments may be made by the Dean or the Chair to meet the needs of the DEIC.

5.3. TERM OF MEMBERSHIP

Members appointed from the departments shall serve a term of three years. Student members are also appointed and shall serve one- or two-year terms, depending on their graduation date. Chairs of standing committees and staff council representatives will serve the term of their respective committee positions. Members can be appointed for two consecutive terms and may be re-appointed after a one-year absence from the DEIC. The term shall be from September 1 of the first year to August 31 of the third year, or until a successor has been elected. A list of current committee members by department/committee represented and term shall be maintained in the Dean's Office and posted on the web page for the DEIC.

5.3.1. MEMBERSHIP SELECTION

Student members of the DEIC will be nominated to the DEIC by their program director or advisor. The call for nominations will occur in August of each year. The current DEIC committee Chair and Vice-Chair will select student members from the nominations.

Faculty and staff members from the SHP departments will be selected for the DEIC by their department chair. If a faculty member's term has ended, it is preferred that a staff member will be selected for the next term and vice versa.

5.4. VACANCY

Vacancies shall be filled by the appointment process described in 3.2. and shall be for the un-expired time remaining in the vacated term.

5.5. OFFICERS

The officers of the DEIC shall be the Chair and Vice-Chair.

5.6. QUALIFICATIONS

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

5.7. TERM OF OFFICE

The officers shall serve a one-year term and may be re-elected. The Chair and Vice-Chair shall be elected and take office at the September meeting.

5.8. DUTIES OF OFFICERS

The Chair shall call and preside at all regular and special meetings of the DEIC. The Vice-Chair shall fulfill the duties of the Chair in the absences of the Chair. The Chair will report activities of the DEIC to the Dean and/or School when requested.

5.9. MEETINGS

Regular meetings shall be held monthly on a standing schedule. Additional meetings may be called by the Chair of the committee or by a majority of the DEIC members. Meetings will be periodically open so that any SHP faculty/staff may attend. The business of the DEIC may be conducted using a virtual workspace at the discretion of the Chair.

5.10. DECISIONS

Decisions will be made by majority vote. Previous notice of the vote is required for items of business concerning new proposals, review of initiatives already approved, major revisions, and any other items of business considered by the reporting committee or the committee Chair to require previous notice. Voting may be conducted electronically.

5.11. QUORUM

A majority of the membership shall constitute a quorum, defined as 50% of the voting membership plus one.

5.12. STANDING SUBCOMMITTEES

Standing subcommittees shall be the Communications Subcommittee and the Event Planning Subcommittee. The Chairs of the subcommittees, appointed by the Chair of the DEIC, shall be selected from the DEIC membership. Additional standing committees may be added as needed at the discretion of the chair.

5.13. DEFINITIONS

The SHP DEIC adopts the definitions of 'diversity,' 'equity,' and 'inclusion' put forth by the UAB Office of Diversity, Equity, and Inclusion (ODEI). At the time these bylaws were written (2021), ODEI used the following definitions.

Diversity is a defining feature of Alabama's and UAB's past, present, and future; and refers to the variety of personal experiences, values, and worldviews that arise from differences of culture and circumstance. Such differences include race, ethnicity,

gender, age, religion, language, abilities/disabilities, sexual orientation, socioeconomic status, geographic region, and more.

Equity is the guarantee of fair treatment, access, opportunity, and advancement for all students, faculty, and staff in every stage of UAB's education and career development, while at the same time striving to identify and eliminate barriers that have prevented the full participation of marginalized groups.

Inclusion is the act of creating an environment at UAB in which any individual or group can feel welcome, respected, supported, and valued. An inclusive climate embraces differences and offers respect in words and actions so that all people can fully participate in the University's opportunities.

The DEIC recognizes that the definitions of these terms are likely to evolve over time. We will adopt any future changes ODEI makes to these definitions to maintain a consistent understanding of these terms across the University.

6. STUDENT AFFAIRS COMMITTEE

6.1. FUNCTION

The Student Affairs Committee (SAC) shall formulate recommendations to the Dean concerning student activities, student services, co-curricular programming, student organizations, and non-academic policies and procedures as specified in the university student handbook.

The specific functions of the SAC shall be to oversee, review and report activity, and send comments and/or recommendations to the Dean regarding:

A. New and continuing student services and major revisions or discontinuation of existing student services.
B. New and continuing School-sponsored student activities and student organizations, or discontinuation of existing student activities and/or organizations.
C. Enforcement of non-academic misconduct policies, including discipline, probation, and suspension policies of the School commensurate with the university and school policies for non-academic student conduct.
D. Content of official publications related to the Office of Academic and Faculty Affairs and the Office of Student Services and Advising such as the SHP student handbooks, recruitment brochures, and student services promotional materials.
E. General record-keeping and reporting requirements related to the School's student recruitment, enrollment, advising and retention activities as pertaining to requirements of the university.
F. Administration of School-approved student organizations, services, and activities.
G. Promotion of student achievements through solicitation and assistance with preparing nominations for student awards and other recognition venues.
H. Other business as directed by the Dean.

6.2. COMPOSITION

The SAC voting membership shall consist of two elected or appointed representatives

from academic departments sponsored by SHP, with at least one full-time faculty member and a second full time faculty member or full-time professional staff; two student leaders from each department, one at the graduate professional level and one at the undergraduate level (if relevant to department); one SHP student representative from the Graduate Student Government (GSG) and one from the Undergraduate Student Government Association (USGA). One at-large student member may be appointed by the Chair from among SHP students serving on other recognized UAB student groups that support the goals of the SAC.

The Director of Student Services and Advising or other dean's designee shall serve as an ex-officio, non-voting member. Elected terms shall be enacted to allow one-third of the elected faculty and staff members to be elected or appointed each year as described in the SAC's policies and procedures. Members may be represented by proxy at scheduled meetings with prior notice to the chair. The election process shall be managed by the Dean's designee.

6.3.   TERM OF MEMBERSHIP

Each member, except student members, shall serve a term of three years and may be re- elected. The term shall be from August 1 of the first year to July 31 of the third year, or until a successor has been elected. The student members shall serve one-year terms. A list of current committee members by department represented and term shall be maintained in the Office of the Director of Student Services and Advising and posted on the web page for SAC.

6.4.   VACANCY

Vacancies shall be filled using the elective or appointment process previously referred to in Section 4.2. Composition, and shall be for the un-expired term.

6.5.   OFFICERS

Officers shall consist of a chair elected from the membership, and chairs of the standing committees appointed by the Chair. Terms of office shall be for one year, and officers may be re-elected.

6.6.   MEETINGS

   A. Two meetings of the full SAC will be held at least twice each academic term, on a bi-monthly basis.
   B. Subcommittees may convene more or less frequently at the discretion of each of the chairperson(s) for said subcommittees.
   C. Prior notice of any meetings must be given at least two working days before the meeting.
   D. Any SHP faculty or staff member may attend any portion of the SAC meeting except those parts discussing confidential matters, such as nonacademic conduct issues.

6.7.   DECISIONS

   A. Decisions by SAC will be made by majority vote of members present in

compliance with a quorum as defined in Section 4.8.

B. All SAC members present shall vote on any topics before the SAC other than confidential, nonacademic misconduct issues.

C. Any SHP faculty member or staff person may attend any portion of the SAC meeting except for those parts of meetings the Chair declares closed for discussion of confidential matters.

6.8. QUORUM

A majority of the membership shall constitute a quorum, defined as 50% of the voting membership plus one. A quorum shall be required for all official cotes by SAC.

6.9. STANDING SUBCOMMITTEES

Standing subcommittees of SAC shall be Homecoming Committee, Orientation Committee, Student Activities Committee, and Nonacademic Conduct Grievance Committee. The chairs of the subcommittees shall be selected from the SAC membership whenever possible. A subcommittee chair may be appointed from the SHP faculty or staff as appropriate. New subcommittees may be added or disbanded at the discretion of the Dean with notification to the SAC membership.

6.9.1. NONACADEMIC CONDUCT GRIEVANCE COMMITTEE

The Nonacademic Conduct Grievance Committee (NCGC) has the responsibility for developing SHP policies and procedures regarding nonacademic student conduct. This committee shall be comprised of faculty members of the full committee. The Director of Student Services and Advising or other dean's designee is responsible for maintaining the policies and procedures for the NCGC, will bear oversight responsibility for the operations of the NCGC, and retain an activity file to ensure procedures are applied fairly and equitably especially regarding compliance with school-level and university policies. Policies and procedures developed by the NCGC must be brought to the SAC for a formal vote to recommend policies to the Dean.

7. SHP FACULTY POLICIES AND GUIDELINES

7.1. FACULTY APPOINTMENTS, PROMOTION, AND AWARD OF TENURE

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

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

Criteria for faculty appointment, promotion, and the award of tenure are based on a faculty member's training, experience, and activities, as well as the potential for continued growth, in (1) teaching, (2) scholarly activities including research and other creative activities, and (3) service. In accordance with the current *UAB Faculty Handbook and Policies*, School faculty policies and procedures shall be developed in consultation

with the Dean, and must be approved by the School faculty, the FAC, the Dean, and the Provost. Current and approved criteria for appointment, promotion, and tenure in the School will be distributed to current faculty when such documents are revised and to each new faculty member at the time of initial appointment. Current documents are maintained on the School website.

The Dean makes administrative appointments in the School. Academic administrators are subject to the promotion and tenure guidelines from their primary School faculty appointment.

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

7.1.1. GUIDELINES FOR FACULTY APPOINTMENT/RECRUITMENT

A. Search committee members are selected based upon unique needs and requirements associated with each faculty recruitment.
B. The department chair identifies potential members of each search committee by soliciting input from the department faculty.
C. Based upon recommendations from the chair, the Dean approves and makes the formal request to the proposed members of the search committee.
D. The School's Equity Advisor serves as a member of each search committee within the School.
E. Academic appointments shall be based on a careful review of each candidate's qualifications including:
    a. Academic qualifications; certification and/or specialization.
    b. Degrees achieved or equivalency (individual cases may be considered in relation to vocational training and experience).
    c. Certification/licensure where applicable.
    d. Experience in the field under consideration.
    e. Teaching ability and experience.
    f. Professional service.
    g. Research accomplishments.
    h. Promise for growth.
    i. Ability to function as a team member; acceptance of programmatic and School philosophy.

7.1.2. REVIEW PROCESS FOR INITIAL FACULTY APPOINTMENT WITH OFFER OF TENURE

A. Source of Appointment Packet Contents

For the FAC to contribute to an efficient process for review of appointment packets with an offer of tenure to the candidate, the Dean (or Provost appointee) shall submit a complete appointment packet to FAC prior to any letters of appointment offer by the Dean being given to the candidate.

The appointment packet shall be submitted to the FAC by the Dean and the packet shall contain the items listed below:

a. Departmental Level Appointment of Faculty with Tenure
   1. The Dean's letter authorizing the department chair to proceed with the recruitment process. This letter shall include the description of the job, a copy of the advertisement used to recruit, and the qualifications required of the candidate who is to fill the vacancy.
   2. The candidate's curriculum vitae outlining documentation for achievements in research or scholarly activities, teaching, and service appropriate for the offer of appointment. Teaching activities should be clearly delineated in the materials submitted.
   3. The current *SHP Promotion and Tenure Guidelines.*
   4. The Dean's cover letter to the Faculty Affairs Committee requesting the review of the packet for the appropriateness of the candidate's credentials for the awarding of tenure based on the SHP tenure guidelines.
   5. The letter from the department chair including documentation of the candidate's credentials for meeting the job description and expectations of the person to fill the recruited position.
   6. The letter from the Department Review Committee summarizing a review of the candidate's packet concerning credentials for the expected faculty rank of the candidate according to the SHP promotion guidelines.
   7. The candidate's tenure guidelines which served as the basis of original granting of tenure at the tenure granting institution.

b. School Level Appointment with Tenure
   1. The Dean/Provost's letter authorizing that the recruitment process moves forward. This letter shall include the description of the job, a copy of the advertisement used to recruit, and the qualifications required of the candidate who is to fill the school level vacancy.
   2. The candidate's curriculum vitae outlining documentation for achievements in research or scholarly activities, teaching, and service appropriate for the offer of appointment. Administrative and teaching activities should be clearly delineated in the materials submitted.
      a. If the position is an administrative appointment, then excellence in administration should be clearly supported in the curriculum vitae and supporting documents.
      b. If the position is research focused, then the curriculum vitae and supporting documents should clearly define excellence in research competencies.
      c. If the position is associated with educational administration, then the candidate's curriculum vitae should clearly document excellence in the area of education administration, research, instructional design, student affairs, or academic affairs for programs or schools comparable to SHP. The candidate's curriculum vitae should support the

achievement expectations defined in the *SHP Promotion and Tenure Guidelines.*

B. FAC Chair Responsibilities

The FAC Chair or Vice-Chair identifies three tenured FAC members to serve on a Tenure Subcommittee that will review the candidate's packet. One of the three shall be the chair of the Tenure Subcommittee. If possible, the reviewers should not be affiliated with the department considering appointment of the candidate under review.

    a. The reviewers shall examine the candidate's accomplishments for compliance with the SHP guidelines for the award of tenure. The review is to focus on the expected abilities of the candidate to be a significant contributor to SHP during their tenure with SHP. The review process for the recommendation decision for the award of tenure shall be conducted with the same rigor as any candidate for the award of tenure.

    Each reviewer shall use the checklist in Appendix C to evaluate the candidate's packet and submit it to the Chair of the Tenure Subcommittee.

C. FAC Review Process

The goal of the FAC is to complete the review process within two weeks of the appointment packet's receipt from the Dean or Provost appointee.

FAC's Tenure Review Subcommittee must have a minimum of three tenured reviewers to prepare a report for all tenured FAC members. The reviewers shall complete their report within one (1) week of receiving a complete faculty appointment packet.

The reviewers shall submit the completed checklist to the Tenure Review Subcommittee Chair, or the FAC Chair or FAC Vice-Chair within the one-week period. NOTE: This is to assure completion of the process in a timely manner

If the Tenure Review Subcommittee Chair or the FAC Chair is not in town then the FAC Vice-Chair must process the report for review by the tenured members of FAC. The member of the Executive Committee receiving the Subcommittee report shall prepare a report for all tenured FAC members. If the candidate should be for a school level appointment with tenure, then communication with the Provost should be included in the process.

A written report including the recommendation of the review subcommittee is to be submitted to all tenured FAC members along with instructions for voting. The date for completion of the review and vote process shall be included in this report along with the return process for the packet of materials including the completed ballot. Two-thirds of the tenured FAC members shall constitute a quorum for such voting decisions.

Voting shall be in accordance with the *FAC Bylaws* 2.3.2.8., and when a majority of affirmative votes is received from the voting tenured FAC members the voting process is completed. All candidate packets used in the review process shall be returned to the Office of the Associate Dean for Academic and Faculty Affairs or other dean's designee.

D. FAC Action and Recommendation Disposition

If the tenured FAC members support the tenure subcommittee report to recommend appointment with tenure, then the FAC chair or member of the Executive Committee shall prepare a letter of recommendation to the Dean (or Provost if the appointment is at the school level).

If a recommendation not to appoint the candidate with tenure is made by the Tenure Review Subcommittee and supported by the tenured FAC membership, then the FAC Chair or member of the Executive Committee shall forward a letter to the Dean (or Provost) stating the recommendation not to appoint with tenure and the letter will outline the reasons identified by the reviewers and the tenured FAC membership to explain why such a decision has been made by FAC.

The FAC Chair shall assure that all appointment packets and materials utilized in the review process have been returned to the Dean's Office.

7.1.3. POLICY REGARDING TENURE EARNING TRACK AND EXTRAMURAL FUNDING OF FACULTY POSITIONS

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

7.1.4. DEPARTMENTAL RECORDS FOR FACULTY

The Department Chair has the responsibility for maintaining an activity file for each faculty member in the academic unit and this file is to be updated at least once a year on a basis of information furnished by the chair/director and the faculty member.

Annual performance reviews for all faculty are to be completed in compliance with directions from the Dean. These reviews will be documented on the standard Faculty Activity Report and Annual Evaluation Form approved by the SHP faculty (Appendix D).

Annual reviews of progress toward tenure and/or promotion are to be completed in compliance with the *SHP Promotion and Tenure Guidelines* and the current *UAB Faculty Handbook and Policies*. This review should be documented as part of the annual activity review and evaluation process.

7.1.5. HOLIDAYS, VACATIONS, LEAVES, AND ABSENCES

Faculty actions concerning holidays, vacation, and leaves shall be in compliance with the current *UAB Faculty Handbook and Policies*.

Faculty should request approval from their supervisor for absence from work due to vacation, illness, professional development, and other designated leave using the University eLAS System.

7.1.6. GUIDELINES FOR FACULTY PROMOTION AND TENURE AWARD

[Refer to the *SHP Promotion and Tenure Process Timeline* in Appendix B for a schedule of all activities, including portfolio preparation].

By February 15 of each year, the Department Chair and the Departmental Review Committee will review any candidate's portfolio and prepare recommendations for promotion and/or the award of tenure. The Department Chair will forward the candidate's portfolio to the Dean by February 15 for submission to the FAC by March 1 of each year. Statements in a faculty member's initial and revised letter of contract are to be addressed in the development of a candidate's portfolio submitted for review.

Department Chairs will annually review the records of faculty members within the department to make determinations for promotion, award of tenure or non-reappointment in accordance with the current *UAB Faculty Handbook and Policies* and the *SHP Promotion and Tenure Guidelines*. This review should be scheduled to allow adequate notice as provided in the current *UAB Faculty Handbook and Policies*, should a decision be made not to reappoint an individual.

Recommendations for promotion and/or tenure award made by Department Chairs and Departmental Review Committees (DRC) will be reviewed by the FAC and the FAC will submit recommendations to the Dean of the School. These recommendations will be approved/disapproved by the Dean and appropriate individuals and the FAC are to be informed of the Dean's decision.

Faculty members are responsible for knowing that a request for promotion and tenure shall be in accordance with the *SHP Promotion and Tenure Guidelines* and the current *UAB Faculty Handbook and Policies*.

The Department Chair shall announce to all faculty the time for discussion and preparation of portfolios to be in compliance with the *SHP Promotion and Tenure Guidelines* and at the prescribed time of the academic year based on the Provost's timeline. Faculty on tenure earning track and non-tenure earning track shall be aware of their readiness for the preparation of a portfolio based on their annual review of their progress toward tenure and promotion as prescribed in the current *UAB Faculty Handbook and Policies*.

In circumstances where a Departmental Chair does not make such an announcement and a faculty member considers that an evaluation of the faculty member's academic and professional qualifications and achievements is appropriate, the faculty member can initiate their portfolio and request for promotion by collecting the information in the manner prescribed by the Provost and departmental guidelines and submitting it to the Departmental Review Committee for consideration.

If a faculty member is denied the opportunity to submit in the department, then the faculty member should request assistance from the Equity Advisor for the School.

The FAC, in exercising their advisory function to the Dean, shall review each candidate's portfolio in reference to the *SHP Promotion and Tenure Guidelines*. The FAC makes recommendations in compliance with the *FAC Policies and Procedures Handbook* for the FAC review process of promotion and/or tenure portfolios.

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

At the Dean's level, decisions can result in four possible outcomes:
1. The FAC makes a positive recommendation, and the Dean concurs.
2. The FAC makes a positive recommendation, and the Dean does not concur.
3. The FAC makes a negative recommendation, and the Dean concurs.
4. The FAC makes a negative recommendation, and the Dean does not concur.

If the outcome is number one or number four above, then the Dean notifies the FAC, the Department Chair, and the faculty member of the decision and then forwards the recommendation to the Provost. If the Provost does not concur, the Dean will be notified, who shall, in turn, notify the appropriate parties in accordance with the procedure specified in the next paragraph.

If the outcome is number two or number three above, then the Dean notifies the FAC and the Department Chair of the decision, and the Department Chair notifies the department committee and the faculty member.

If a candidate who has been denied promotion and/or tenure does not agree with the decision, then the candidate should refer to Section 2.17 for the appeals as prescribed in the current *UAB Faculty Handbook and Policies*.

No promotion is effective until the Dean has received the advice and counsel of the Department Chair, the Department Review Committee and the FAC, as well as approval of the Provost and the President.

7.1.6.1. CRITERIA FOR FACULTY PROMOTION AND TENURE AWARD

Refer to the current *UAB Faculty Handbook and Policies* for general statement concerning promotion and tenure criteria. The *SHP Promotion and Tenure Guidelines* and the FAC guidelines for review of candidates' portfolios are attached as appendices of this *SHP Faculty Handbook and Faculty Bylaws*. Such promotion and tenure guidelines are to be current and approved by the School Faculty, the FAC, the Dean and the Provost in compliance with the current *UAB Faculty Handbook and Policies*. The length of tenure earning period for faculty on

tenure earning track is ten (10) years in the SHP. For specific statements used to define a "tenure earning period" for a faculty member, see the current *UAB Faculty Handbook and Policies*.

7.2. GUIDELINES FOR EVALUATION OF TEACHING EFFECTIVENESS

7.2.1. STUDENT EVALUATIONS

INTRODUCTION

Course evaluations in the School of Health Professions are administered as one method of measuring the effectiveness of the instructor and the quality of the course. Student feedback will not only contribute to the improvement of the student experience but may be used in administrative decisions. The standardized course evaluation tools adopted by the University are designed for summative purposes and results will be reported to the faculty member, Program Director, and Department Chair. Established Programs may elect to evaluate courses on a rotation schedule to avoid student survey fatigue. Faculty are encouraged to develop unique tools for their own formative purposes.

POLICIES
1. Those courses with 6 or more students should be considered for evaluation each time they are offered. In courses with enrollment of less than 6 the evaluation is optional at the discretion of the course director. All courses should be evaluated at the first offering, when course director changes, or significant revisions are made.
2. Dissertation chairs and/or mentors will be evaluated only at the completion of the degree or project.
3. Faculty from outside SHP will be evaluated at the discretion of the chair.
4. The evaluation should be administered after approximately 85% of the contact hours have been completed and must occur prior to the last regular class meeting.
5. The program will determine the timing and administration method for clinical and internship coordination course evaluations.
6. Evaluations will be processed, and a summary of the results will be available to the faculty member, Program Director, and the appropriate SHP Department Chair via the online faculty dashboard.
7. Evaluations after the last day of final exams will NOT be processed unless the Dean's Office has granted prior approval.
8. Those evaluations turned in for processing will be processed regardless of the response rate.

Procedures for administration of the surveys are included in the *FAC and AAC Policies and Procedures Handbooks* available on the SHP online portal.

7.2.2. FACULTY PEER REVIEW

INTRODUCTION

In addition to student ratings of instruction, peer review is another method for faculty to receive feedback regarding teaching effectiveness. Peer review can be used to

assist faculty in designing strategies to improve teaching. Peer review also can be used to support mastery, excellence, and/or leadership in teaching for promotion and/or tenure applications and for nominations for teaching awards.

To emphasize the importance of the University's teaching mission, the School of Health Professions (SHP) supports a peer reviewed development and assessment process to promote teaching effectiveness. The review process will document the effective instructional strategies faculty use in teaching. The process will provide a framework to examine the context of the individual faculty member's role and acknowledges the strengths of the faculty member to evaluate the learning environment and maximize the desired student learning outcomes. The Peer Review Procedures are published in the *AAC Policies and Procedures Manual* and are posted on the SHP online portal.

7.3. RESIGNATION, TERMINATION, REAPPOINTMENT, NON-REAPPOINTMENT

Faculty members of the School are referred to the current *UAB Faculty Handbook and Policies* concerning these topics.

7.4. GRIEVANCES

A faculty member with a grievance in any matter other than dismissal proceedings should seek solution of the problem through the Program Director, Department Chair, and the Dean of the School, as prescribed in the current *UAB Faculty Handbook and Policies.* If circumstances do not permit following the recommended grievance procedures, the faculty member should seek guidance and counseling from the School's Equity Advisor. If unable to obtain a satisfactory resolution, the faculty member may then request that the Provost consider the grievance as prescribed in Appendix A Faculty Grievance Procedures in the current *UAB Faculty Handbook and Policies*.

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

7.5. CONSULTING PRACTICES

Faculty shall consult the current *UAB Faculty Handbook and Policies*, Section 3.11 for procedures concerning consulting outside UAB, consulting within UAB, and for actions related to conflicts of commitment and conflicts of interest.

All faculty members in the School are expected to submit a disclosure of financial interest using the "External/Internal Activity Approval/Financial Interest Disclosure" process.

Instructions and access to the required form are available via the [Conflict of Interest Review Board site](#).

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

7.6. PROFESSIONAL LEAVE AND EXTERNAL ACTIVITY LEAVE

School of Health Professions (SHP) faculty members may participate in professional activities outside UAB that advance their individual careers and the academic mission of the School and University. These professional activities are divided into those that require preapproval from the faculty member's department and the Dean's office ("External Activities," to which External Activity Leave may apply) and those that do not require preapproval ("Professional Public Service Activities," to which Professional Leave may apply). Both types of leave are required to be reported in eLAS (HR policy 208).

External Activity Leave
There is existing guidance from the *UAB Faculty Handbook and Policies* that addresses External Activities. Examples of External Activities include consultation with healthcare organizations or academic institutions, teaching in an academic unit or institution other than the faculty's primary appointment, and serving as an expert in medicolegal cases. Participation in External Activities is permitted with the prior written approval of the department and Dean's office, provided that this participation (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) avoids use of UAB resources or facilities. Faculty involvement in these External Activities is governed by UAB HR Policy 128 (Appendix) that allows faculty members to request External Activity Leave in order to rearrange their schedules to accommodate both their UAB work and their participation in these activities for ≤ 20 (twenty) working days per year. These approved External Activity Leave days must be reported in eLAS.

Professional Leave
Professional Leave may be used for Professional Public Service Activities, which are governed by the UAB Enterprise Conflict of Interest and Conflict of Commitment Policy. Professional Public Service Activities do not require preapproval unless participating in the activity might cause a faculty member to miss a University commitment. A maximum number of days of Professional Leave that may be taken for Professional Public Service Activities has not previously been specified.

Professional Service Activities include the following categories and must be reported in eLAS with sufficient detail to understand the nature and location of the activity:
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. Attendance and participation at seminars, workshops, and professional association meetings for the purpose of professional development.
5. Participation on boards of directors with UAB Enterprise affiliated entities.

The following guidelines were made effective January 1, 2022, for the School of Health Professions:

- Full-time faculty members will be permitted to take a combined total of 52 (fifty-two) total working days of Professional Leave and External Activity Leave per fiscal year (Fiscal year - October through September). However, within that 52 (fifty-two) days combined total, External Activity Leave may not exceed 20 (twenty) working days per year, and it is recommended that there not be more than 5 (five) External Activity Leave days per quarter. It is important to note, all provisions of UAB HR Policy 128 remain in full force and effect for the SHP.
- Professional Leave within the 52-day limit must be entered into the eLAS system and is subject to the normal approval process. However, once the limit is to be exceeded, the activity must be preapproved by the Department Chair and the Dean before being entered in eLAS.
- Departments are encouraged to have Departmental-specific policies that enhance the goals of the Department. These department-level policies may allow for fewer days of Professional Leave. However, these policies may not allow for more than the 52 working days for Professional Leave described in this guideline without pre-approval as outlined above.
- Activities being performed by full-time faculty directly in support of their UAB jobs, but at a non-UAB site, are exempt from this 52 working day Professional Leave limitation. An example would be visiting a lab at another university as direct part of the faculty member's own research activities normally conducted at UAB, because UAB lacks a specific piece of lab equipment necessary for the research.
- Clinical practice activities required in faculty letters of appointment to maintain professional licensure requires advance approval as external activity. With approval by the department chair and the dean, time spent in such activities may be considered Professional Leave within the 52-day combined leave limit.
- All provisions of UAB HR Policy 128 remain in full force and effect for the SHP, including that External Activity Leave may not exceed 20 (twenty) working days per year, and including the recommendation that there not be more than 5 such days per quarter.

Please refer to the UAB Enterprise Conflict of Interest Conflict of Commitment Policy available at https://secure2.compliancebridge.com/uab/portal/getdoc.php?file=102.

7.7. SHP REORGANIZATION/CHANGE POLICY

The purpose of the SHP Reorganization/Program Change Policy is to ensure adequate faculty involvement and input if a proposal for a (a) major reorganization of the School or one or more Departments or Divisions, or (b) major program change is made. A "major reorganization" is defined as a reorganization that affects the majority of the faculty (50% or more), tenured and non-tenured, in a particular Program, Division, Department, or the School, with respect to reporting structure or the number of faculty. "Program change" refers to terms stated in Section 2.18.2 of the current *UAB Faculty Handbook and Policies*, i.e., bona fide financial exigency, bona fide financial crisis, or academic

program/unit closure.

The primary goal of the procedures outlined is to provide the faculty the opportunity to provide input to administration as called for in Section 2.18.2.1 of the current *UAB Faculty Handbook and Policies.*

A second goal is to ensure that all faculty members are treated fairly and in accordance with the policies and procedures of the University, particularly with regard to the rights of tenure.

This policy is meant to extend the basic University Policy (see current *UAB Faculty Handbook and Policies*, Section 2.7.3) related to organizational changes that might result in a significant programmatic change, termination of a program, and/or termination of tenured faculty members. Procedures are included in *FAC and AAC Policy and Procedure Handbooks* available on the SHP online portal.

8. APPENDICES

Appendix A: SHP Promotion and Tenure Guidelines
Appendix B: SHP Promotion and Tenure Process Timeline
Appendix C: SHP Initial Appointment with Tenure Checklist
Appendix D: SHP Faculty Activity Report and Annual Evaluation Form

Appendix A: SHP Promotion and Tenure Guidelines

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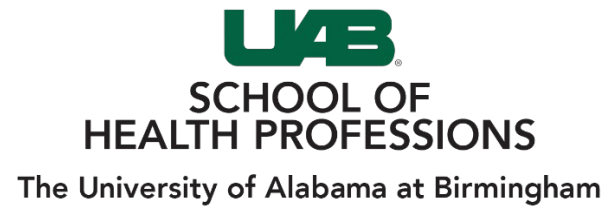
Promotion and Tenure Guidelines

The following statements on promotion and tenure serve to expand and clarify information in the *UAB Faculty Handbook and Policies* (Sections 2.10. and 2.11.) and the current *SHP Faculty Handbook and Faculty Bylaws.*

Outline of Contents

I. Introductory Statement/Philosophy

In addition to the traditional role of maintaining academic freedom, the purpose of promotion and tenure is to acknowledge faculty effectiveness through a peer review process that includes criteria that were developed and approved by the faculty. (Refer to the *UAB Faculty Handbook and Policies*, Section 3.2 for the American Association of University Professors 1940 Statement on the Principles on Academic Freedom and Tenure and 1970 Interpretive comments).

Promotion and tenure are separate and distinct events. Promotion rewards faculty for significant achievements in the areas of teaching, scholarly activity, and service. Tenure is awarded to acknowledge a faculty member's commitment to the University and is demonstrated by sustained performance and significant contributions to the Department, School and University that maintain or improve the quality of the institution. Tenure is awarded based on the evidence of the capacity and likelihood for continued productivity in teaching, scholarly activity, and service. The length of the tenure-earning period for the SHP is ten years and the start and completion date are determined by the date of initial appointment to the tenure track as defined in the *UAB Faculty Handbook and Policies*, Section 2.12.1). During the promotion and tenure review process, it is the responsibility of all committee members and administrators to act in a manner that reflects confidentiality, consistency, and fairness.

Faculty members who are eligible for promotion and/or tenure are reviewed by committees of their peers and by individuals with administrative appointments. Within each department, a regular review process occurs at least every two years and is conducted by a Department Review Committee (DRC). Faculty with school-wide appointments, or administrative appointments such as department chair or assistant/associate deans, are reviewed by the School's Administrative DRC.

The purpose of this review is to assess progress toward meeting the criteria for promotion and/or tenure. In addition, the department chair completes an annual performance review of all faculty. The department chair will include comments on progress toward promotion/tenure for faculty in tenure-earning status.

The faculty member, with the counsel of their Department Chair and the DRC, initiates the process to apply for promotion and/or tenure. The portfolio is sent to three external reviewers. The DRC and Department Chair subsequently review the application portfolio and make formal recommendations to the Dean. The portfolio is then submitted to the Dean for distribution to the SHP Faculty Affairs Committee (FAC). The portfolio is reviewed by FAC and a recommendation is sent to the Dean. After review by the Dean, the portfolio may be sent forward to the Provost. Final decisions are made by the President.

This document has been developed in compliance with the *UAB Faculty Handbook*, and has been approved by the SHP Faculty Affairs Committee, the SHP Dean, and the UAB Provost.

II.   Promotion & Tenure Process

   A. Description of Activities and Timeline

   1. Activities that occur annually
      a. **In May**, the FAC reviews the current *SHP Promotion and Tenure Guidelines.* Any revisions are approved first by the FAC with input from the SHP faculty and then by the Dean and Provost. The committee assures that the guidelines that will be used in the following year are distributed to faculty and posted on the SHP website.
      b. **By June 15**, faculty are reviewed for progress toward tenure/promotion by their Department Review Committee (DRC). Tenure track faculty must be evaluated every other year. Non-tenure track faculty and tenured faculty at the rank of Associate Professor may request reviews. A copy of the review is sent to the candidate and Department Chair and placed in the candidate's personnel file which is maintained by the SHP Dean's Office.
      c. **By June 15**, tenure track faculty are reviewed for progress toward tenure/promotion by their Department Chair. A copy of the review is sent to the candidate, and a copy is placed in the candidate's personnel file.
      d. **By September 10**, the Dean (or designated persons) conducts a meeting with each of the following groups to discuss the promotion and tenure process:
         i. Faculty who plan to submit portfolios for promotion and/or tenure.
         ii. Department Chairs and DRCs.

   2. Steps to apply for promotion and tenure: All portfolios must be submitted to the Dean's Office by **February 15**. The following dates are recommended guidelines to assure department and external reviews are completed by **February 15**.
      a. No later than **August 1**, the candidate informs the Department Chair of their decision in writing to submit a portfolio. In making a decision, faculty should consider the feedback they have received from their DRC and Department Chair, and how their accomplishments compare to the SHP guidelines. By **September 15**, the Department Chair provides the candidate with a list of supplemental materials requested by the DRC. These supplemental materials are in addition to the portfolio that is submitted to the DRC, Department Chair, FAC, and the Dean, and are used during the department review only.
      b. By **October 1**, the first draft of the candidate's portfolio should be submitted to the DRC and Department Chair. Candidates are encouraged to seek consultation from their DRC, Department Chair and others in the SHP as they prepare their portfolio. The portfolio contains a cover memo addressed to the Dean in which the candidate describes: (1) the specific rank and/or tenure that they are seeking, (2) the areas (teaching, scholarly activity, service) and the levels (mastery, excellence, leadership) for which they are submitting documentation.
      c. No later than **October 15**, external reviewers are identified. During October, the candidate completes the portfolio that will be sent to external reviewers, the DRC, and the Department Chair. The Department Chair contacts the external reviewers and confirms a commitment to complete the reviews in a timely

manner. (See Section C3 for external review process). During this timeframe the candidate's portfolio is returned to the candidate for final edits.

d. No later than **November 1**, the revised portfolio is submitted to the Department Chair. No additions/deletions can be made to the portfolio after this time. Candidates should maintain a copy of the portfolio for their personal files.

e. The Department Chair forwards the portfolio to the FAC staff liaison along with contact information for the external reviewers. The staff liaison uploads the portfolio to the FAC online workspace, along with the SHP Guidelines for Promotion and Tenure and provides access instructions to the external reviewers no later than **November 5**.

f. In **December**, external reviews are received and included in the portfolio.

g. No later than **January 1**, the portfolio and any additional materials are made accessible to the DRC and the Department Chair by the staff liaison via the FAC online workspace. The DRC and Department Chair conduct independent reviews during January. It is the Department Chair's responsibility to ensure letters from these reviews are submitted to the FAC staff liaison to be included in the candidate's portfolio archived on the FAC online workspace.

h. By **March 1**, access to the P&T online shared workspace is given to the Chair of the FAC and ad hoc review members. Ad hoc review members will receive access only for assigned candidates. Independent reviews are completed by all reviewers before discussion among the ad hoc committees. The Chair of the ad hoc committee submits a written summary of the review and recommendation to Chair of FAC.

i. During the April FAC meeting, the FAC conducts the formal reviews of the candidates. (See FAC Guidelines for review in the FAC Policies and Procedures Handbook).

j. By **May 1**, the chair of FAC submits recommendations to the Dean.

k. The Dean evaluates the portfolio and considers the recommendations submitted by the Department Chair, DRC, FAC, and external reviewers.

   i. If the Dean's recommendation is favorable, the portfolio is made accessible to the Provost for review. When notification of P&T decision is received from the Provost's Office, the original portfolio is kept in the Dean's Office as part of the personnel file for the faculty member.

   ii. If the Dean's recommendation is negative, the portfolio is returned to the Department Chair, with all review letters removed before the portfolio is returned to the candidate. It is the responsibility of the Department Chair to assure that the external review letters are kept confidential.

   iii. If the Dean did not forward a positive recommendation to the Provost, the Dean notifies the FAC and the Department Chair of the decision, and the Department Chair notifies the Departmental Review Committee (DRC) and the faculty member.

l. At the candidate's request, the DRC provides feedback to the candidate after the review process is completed. This feedback should not specify sources of information.

m. If tenure is denied the candidate can re-apply within the ten (10) year period of their initial appointment to tenure track.

B. Role of the SHP Promotion and Tenure Committee

1. Composition
   a. The Promotion and Tenure Committee consists of full-time regular faculty with primary appointments in the SHP, who are elected to the FAC or appointed by the Dean.
   b. The number of appointed members will not exceed 50% of the total number of members who are eligible to vote.

2. Function
   a. The FAC is charged with advising the Dean on promotion and tenure applications.
   b. A description of the FAC and its functions can be found in Section 2.3.2.1. of the *SHP Faculty Handbook and Faculty Bylaws.*
   c. A description of the FAC Review Process for Promotion and Tenure can be found in Appendix B of the *SHP Faculty Handbook and Faculty Bylaws.*

C. Role of the Department Review Committees (DRC)

1. Composition
   a. The DRC will consist of at least three full time faculty members who are elected by the department faculty or appointed by the department chair. A majority of the members must be tenured, and there must be at least three eligible members to vote on each candidate. To vote on a tenure decision, members must be tenured. To vote on promotion, members must be at the rank (or higher) that the candidate is applying for. The Department Chair cannot serve on the DRC.
   b. Members will serve staggered terms to allow continuity. The length of term will be established by the department.
   c. Terms will begin April 15 of each year to allow the committee to participate in the May reviews for progress toward tenure/promotion and in the review for promotion and tenure in the following year. The committee will elect a Chair.
   d. In some departments, there may not be a sufficient number of faculty that are eligible to vote. In this case, the Chair of the DRC will solicit nominations from the departmental faculty of qualified members of the SHP faculty and conduct an election. These additional members will serve for one year and participate only in those reviews in which there are not three eligible voting members on the DRC.
   e. The Administrative DRC will be comprised of five members, one tenured professor from each academic department, appointed by the dean or the dean's designee to the FAC. For candidates with a department appointment, the DRC representative from the candidate's department will be recused from that candidate's review.

2. Functions
   a. Review tenure track faculty for progress toward tenure and/or promotion at least every two years; complete a written review that is submitted to the Department Chair and faculty member and placed in the faculty member's personnel file that is maintained by the SHP's Dean's Office. This review should include a proposed plan and timeline for application for tenure and/or promotion.
   b. Review non-tenure track faculty and tenured faculty at the rank of Associate Professor for promotion at their request; complete a written review that is submitted to the Department Chair and faculty member and maintained in the faculty member's personnel file in the SHP's Dean's Office.
   c. Provide consultation to candidates as they prepare promotion and/or tenure portfolios including guidance regarding documentation of the significance of teaching, scholarship, and service contributions and achievements. Ultimately, it is the responsibility of the candidate to prepare a well-documented portfolio.
   d. Coordinate with the Department Chair the request for additional materials to be used in the departmental review process.
   e. Review portfolios of candidates who are applying for promotion and/or tenure; complete a written report that is addressed to the Dean and copied to the Department Chair. In addition, if the review is not favorable for the candidate, the DRC should suggest or recommend a timeline and plan for resubmission.
   f. The Chair of the DRC is responsible for all documentation related to the reviews.

D. External Review Process

Three confidential evaluations from external reviewers are required for all candidates for promotion and/or tenure.

   a. Purpose – the purpose of external reviews is to achieve peer review from professionals with similar roles and responsibilities and experience in the candidate's professional field. Additionally, the external reviewers are a means of documenting the impact of the candidate's professional contributions beyond UAB.
   b. Qualifications of external reviewers
      i. An academic or clinical faculty position at or above the rank to which the candidate is applying, preferably at an institution with similar programs and mission as that of UAB. Persons currently employed in other areas (e.g., industry or governmental agencies) that have prior academic experience and have national or regional professional recognition as experts in the candidate's discipline may qualify.
      ii. Expertise in the applicant's discipline and primary area of professional responsibility is demonstrated by teaching, scholarly activities, or service.

iii. No personal or professional conflict of interest. Examples of individuals with a conflict of interest include family members (spouse, parent, children), co-authors who have published with the candidate within five (5) years, co-investigators on projects within five (5) years, PhD mentor or chair, or business partner.

iv. Be able to provide a candid review of the applicant's accomplishments based on the materials provided. The review should contain a qualitative assessment of the applicant's accomplishments, not just a summary of accomplishments. This review should include stated areas which are articulated in the candidate's cover memo to the Dean and are further classified in the instructions for *Preparing Promotion and Tenure Applications*.

c. Selection of external reviewers

i. The candidate selects 3-5 potential reviewers and provides a brief rationale for why the reviewer should be considered. The applicant then submits the list to the Department Chair. The Department Chair generates a list of 3-5 reviewers and also provides a brief rationale for why the reviewers should be considered. At this time, the candidate reviews the Department Chair's list of potential reviewers and has the opportunity to strike any reviewer if a valid conflict of interest exists.

ii. The DRC selects three reviewers (from the combined list generated by the candidate and the Department Chair) and two alternates. The Department Chair contacts the reviewers and confirms a commitment to complete the review.

d. Role of reviewers

i. Reviewers are charged with providing an objective evaluation of the candidate's credentials and accomplishments in comparison to the SHP promotion and tenure criteria.

ii. A written report should be submitted to the Department Chair that includes an assessment of the candidate's accomplishments relative to the *SHP Promotion and Tenure Guidelines*. Further, the assessment might include areas of strength, limitations, and any areas with insufficient materials or information.

iii. Materials provided to reviewers:
1. A letter from the Department Chair requesting the review.
2. The candidate's portfolio (excluding supporting documents prepared exclusively for the DRC or Department Chair).
3. A copy of the *SHP Promotion and Tenure Guidelines*.

III. Preparation of Materials (Portfolio)

A. The candidate's portfolio must be organized as follows:

- A cover memo addressed to the Dean, in which the candidate declares the area(s) of mastery, excellence, or leadership for which the faculty member is submitting documentation.
- UAB Faculty Promotion/Tenure Action Summary Form.

- School's promotion and tenure guidelines.
- Faculty member's current curriculum vitae.
- Department Chair's, DRC's, and Dean's reports/letters of review/recommendation for promotion and tenure (inserted by the FAC staff liaison).
- Evidence of teaching effectiveness.
- Evidence of scholarship productivity not reflected in the vitae.
- Summary of additional service activities (internal and external to UAB) not reflected in the vitae.
- Letters from reviewers external to UAB (minimum of three – inserted by the FAC staff liaison).
- Letters of recommendation (if included, but not necessary – inserted into the sections where applicable – teaching, scholarship, service).
- Chair's annual evaluations and pre-tenure and/or promotion reviews by the Department Review Committee.

The candidate must complete the top portion of the "UAB Faculty Promotion/Tenure Action Summary Form" and assure that this form is in the front of the portfolio. Data should be verified with the School's Personnel Officer. The materials listed above should be placed in a 3-ring binder, limited to a maximum of two inches.

Additional supporting documentation may be requested only by the Department Chair and/or DRC for their reviews prior to finalizing the portfolio. These materials should not be placed in a separate notebook.

B. When an initial letter of appointment outlines specific expectations for a faculty member and these expectations are related to criteria that will be used for promotion and/or tenure, then the letter of appointment requirements must be addressed by the candidate in the appropriate sections of the portfolio. (Letter of appointment should also be attached).

C. The Department Chair's letter, which is separate from their annual reviews of the candidate, should address the candidate's accomplishments toward the prescribed activities in the candidate's letter of appointment and activities subsequently assigned. Any additional letters form the Program Director or Division Director are optional.

D. The candidate must complete the portfolio in compliance with the defined due dates prescribed in the timeline of the *SHP Promotion and Tenure Guidelines.*

E. The candidate is to be notified by the Dean's Office staff via email of the date of the portfolio's receipt in the Dean's Office.

IV.   **Requirements for Promotion and Tenure**

To apply for promotion to a specific rank, faculty must have achieved the requirements listed for the rank by the time of application (November 1) of the academic year of application. The

requirements are considered minimal expectations for each of the levels of promotion and for tenure and specify the achievement of mastery, excellence, and/or leadership.

A. Promotion to Assistant Professor

A faculty member appointed as an Instructor may be promoted to Assistant Professor when the faculty member has:

a. Completed a minimum of two years (by November 1 of the academic year of application) in academic service at the rank of Instructor at UAB or a comparable academic institution (or equivalent experience).
b. Earned, at minimum, a Master's degree.
c. Demonstrated mastery in all three of the following areas: teaching, scholarship activity, and service. When agreed to by the candidate and Department Chair, demonstrated excellence in one of the areas and mastery in a second area may be acceptable. The rationale for the second option must be clearly stated in the candidate's cover memo and is subject to review by the DRC, FAC, and the Dean, who may or may not accept this option.

B. Promotion to Associate Professor

A faculty member appointed as an Assistant Professor may be promoted to Associate Professor when the faculty member has:

a. Completed a minimum of three years (by November 1 of the academic year of application) in academic service at the rank of Assistant Professor at UAB or comparable academic institution (or equivalent experience).
b. With few exceptions, completed a doctoral degree. The doctoral degree should be granted by a regionally accredited university or foreign equivalent and include a research training component that resulted in a juried scholarly product. If these conditions are not met, the candidate is responsible for collaborating with appropriate entities (e.g., Departmental Review Committee, Department Chair) to develop an exceptions case. Examples of appropriate exceptions include, but are not limited to:
    i. A postgraduate fellowship or residency with a research component.
    ii. Sustained work or professional experience leading to published scholarly products.
c. Continued demonstration of mastery in all three areas of teaching, scholarly activity, and service plus excellence in two of the three areas, or leadership in one area.

C. Promotion to Professor

A faculty member at the rank of Associate Professor may be promoted to Professor when the faculty member has:

a. Completed a minimum of three years (by November 1 of the academic year

of application) of academic service at the rank of Associate Professor at UAB or comparable academic institution.

b. With few exceptions, completed a doctoral degree. The doctoral degree should be granted by a regionally accredited university or foreign equivalent and include a research training component that resulted in a juried scholarly product. If these conditions are not met, the candidate is responsible for collaborating with appropriate entities (e.g., Departmental Review Committee, Department Chair) to develop an exceptions case. Examples of appropriate exceptions include, but are not limited to:

    i. A postgraduate fellowship or residency with a research component.

    ii. Sustained work or professional experience leading to published scholarly products.

c. Demonstrated leadership in two of the three areas of teaching, scholarly activity, and service, and mastery in one area.

D. Criteria for Tenure

Tenure is the recognition of sustained commitment and growth and is demonstrated by contributions to the program, department, school, university, and academic and professional communities. Persons awarded tenure are expected to maintain a high level of personal and professional integrity.

A faculty member who is on the tenure-earning track must initiate the process by the end of the 8th year with the formal review occurring during the 9th year. If tenure is not awarded by the end of the 9th year, then the 10th year is the faculty member's terminal year. For further information, see the *SHP Faculty Handbook and Bylaws* or *UAB Faculty Handbook and Policies,* Sections, 2.5 and 2.6.

Requirements

Tenure is awarded to individual faculty members based upon the following:

a. Met the requirements as listed above for the faculty rank of Associate Professor or Professor.

b. Completed a minimum of five years (by November 1 of the academic year of application) as a full-time faculty member in an academic setting.

c. With few exceptions, completed a minimum of three years (by November 1 of the academic year of application) in academic service to UAB. It is incumbent on the candidate and the Department Chair to provide a strong rationale for why an exception should be granted.

d. Demonstrated sustained productivity and evidence of effectiveness in teaching, scholarly activities, and service.

e. Demonstrated sustained commitment to development, quality, and reputation of program, department, school, and university. Commitment can be demonstrated by activities that support the mission of the program, department, school, university, and academic or professional communities. Examples include development of new programs and/or tracks within programs, activities that increase the visibility of the school and university, enhancement of services for

students, participation on school committees and task forces, or serving in a leadership role within an academic or professional organization.

    f.   When appropriate, tenure may be granted at the initial faculty appointment. See the *SHP Faculty Handbook and Faculty Bylaws*.

E. Examples of Mastery, Excellence, and Leadership

As faculty progress in careers in academic institutions, they are expected to achieve mastery, followed by excellence, and then leadership. The examples for excellence are built upon those for mastery, and the examples of leadership are built upon both mastery and excellence. A faculty member who demonstrates excellence in an area should also be able to demonstrate mastery in that area, and faculty who demonstrate leadership in an area should be able to demonstrate both mastery and excellence.

The following are examples only; the candidate is not required to demonstrate every example and may offer alternative examples.

TEACHING

Mastery – Candidate demonstrates competence in the design and delivery of courses and creation of teaching materials for use in the classroom or online.

(The following are EXAMPLES ONLY. Candidate is not required to provide evidence of teaching mastery using every example. Candidates may offer alternative evidence of mastery within this domain).

1. Design at least one course, including writing learning objectives, organizing content, developing instructional materials and delivering information that promote active learning.
2. Demonstrate teaching competence based on student and/or peer evaluations.
3. Exhibit current knowledge of course content and awareness of current developments in the subject area, as evidenced by examples of teaching resources developed.
4. Student evaluations are at or above average of all courses offered by the department and/or SHP.
5. Improve the quality and effectiveness of their educational practices, policies, and outcomes.
6. Demonstrate use of student, peer, and self-assessment to make improvements to assigned courses.
7. Counsel and advise students as they progress through courses/programs.
8. Assist colleagues, both within and external to the department, with lectures and labs.
9. Participate in program/curriculum development.

Excellence – Candidate demonstrates superiority (or above average competence) in teaching (classroom or online) and development of teaching resources that extend beyond personal use.

(The following are EXAMPLES ONLY. Candidate is not required to provide evidence of teaching excellence using every example. Candidates may offer alternative evidence of excellence within this domain).

1. Develop, implement, and evaluate innovative teaching methods that promote critical thinking skills.
2. Develop and/or deliver workshops/training sessions on teaching methods, evaluation methods, and/or curricular design.
3. Serve as a guest lecturer for other programs both internal and external to UAB.
4. Demonstrate teaching excellence based on student and peer evaluations.
5. Serve as an advisor to student groups outside of course projects.
6. Mentor junior faculty in course development and in implementing new instructional methods.
7. Publish chapters, reviews, web-based publications or books that are used outside of UAB for teaching purposes.
8. Develop training grant proposals.

Leadership – Candidate demonstrates an ability to influence or impact educational programming and curriculum development at the Department, School, University levels, or within their professional discipline.

(The following are EXAMPLES ONLY. Candidate is not required to provide evidence of teaching leadership using every example. Candidates may offer alternative evidence of leadership within this domain).

1. Demonstrate outstanding teaching based on student and/or peer evaluations.
2. Achieve recognition for innovative teaching methods (with methods adopted by others).
3. Serve as a mentor for faculty who are seeking to improve their teaching competencies, skills, and abilities.
4. Receive commendations and awards for teaching excellence.
5. Be a visiting professor at other institutions.
6. Design and implement new/innovative faculty development workshops to improve teaching effectiveness.
7. Provide leadership in developing new courses, designing, and implementing new teaching methods.
8. Initiate and evaluate innovative changes in curricula.
9. Develop, implement, and evaluate methods to assess educational outcomes.
10. Be recognized as an authority by invitation to serve on grant review sections/boards for training grants.
11. Receive funding and implement program to support trainees (e.g., receive a training grant or be supported on a training grant).

RESEARCH/SCHOLARSHIP

Mastery – Candidate demonstrates comprehensive knowledge of the conduct of research, makes scholarly contributions within their respective field, or shows competency in procuring funding.

(The following are EXAMPLES ONLY. Candidate is not required to provide evidence of research/scholarship mastery using every example. Candidates may offer alternative evidence of mastery within this domain).

1. Mentor undergraduate and/or graduate students in research.
2. Present and/or publish abstracts of scholarly works.
3. Contribute expertise as a co-author or peer-reviewed publications.
4. Contribute expertise as an author of book chapters or review articles.
5. Contribute specific expertise on extramurally funded projects (e.g., contracts, grants).
6. Successfully manage as principal investigator on an intramural UAB grant.
7. Develop and submit proposals that respond to competitive funding announcements or non-competitive requests for proposals.
8. Establish database or repository that could be used for research purposes.

Excellence – Candidate produces outstanding research/scholarly contributions; procures significant funding; and/or is recognized for distinction in their respective field.

(The following are EXAMPLES ONLY. Candidate is not required to provide evidence of research/scholarship excellence using every example. Candidates may offer alternative evidence of excellence within this domain).

1. Successfully manage a foundation, federal, or industry sponsored grant/contract as principal investigator.
2. Contribute expertise as a co-investigator on a peer-reviewed federally funded grant (or a grant from a large national foundation that is very competitive, e.g., American Heart Association, American Diabetes Association, Robert Wood Johnson Foundation), for significant percent effort.
3. Receive commendations and awards for research excellence in a particular domain of knowledge or skill.
4. Author manuscripts in well regarded discipline specific peer-reviewed journals as first or senior author with trainees, students, or junior faculty as co-authors.
5. Be recognized for excellence by being asked to present research/scholarly works at national/international professional meetings or other research institutions.

Leadership – Candidate's research is influential in respective field, there is evidence of authority, and/or visibility at a local/state/national/international level in the field of practice or research.

(The following are EXAMPLES ONLY. Candidate is not required to provide evidence of research/scholarship leadership using every example. Candidates may offer alternative evidence of leadership with this domain).

1. Successfully manage a site from a multi-center study as a principal investigator.
2. Serve as a principal investigator or one of multiple principal investigators for sustained/continuous funded grant/contract (this includes being the leader of a major project or shared resource of a program grant or center grant).
3. Generate a sustained record of publications (with junior faculty or trainees as mentees) in well regarded peer-reviewed journals.
4. Obtain high numbers of citations for book chapters, peer-reviewed or review articles as a first or senior author.
5. Be recognized as an authority as demonstrated by invitations to serve on grant review section/boards, and/or external advisory boards.
6. Assume leadership in the planning and execution of national/international symposia or forums or workshops designed to shape or influence current or future ideas in a particular field of knowledge.
7. Participate as an invited member in an honorary scholarly society.

SERVICE

Mastery – Candidate demonstrates participation in activities, committees or organizations that seek to enhance teaching and learning, research, or the field of practice.

(The following are EXAMPLES ONLY. Candidate is not required to provide evidence of service mastery using every example. Candidates may offer alternative evidence of mastery within this domain).

1. Be a member of University, School, and/or Department committee and/or task forces.
2. Demonstrate competent performance of an administrative role and/or special assignment.
3. Perform professional activities that are approved by the department and/or school. (Examples include clinical care, providing laboratory support services, and consultation).
4. Participate in community service programs related to candidate's profession or area of expertise.
5. Be a member and participate in at least one relevant professional organization.
6. Be a reviewer of journal manuscripts or intramural grants.

Excellence – Candidate shows evidence of leading activities within committees or organizations that enhance teaching and learning, research, or the field of practice.

(The following are EXAMPLES ONLY. Candidate is not required to provide evidence of service excellence using every example. Candidates may offer alternative evidence of excellence within this domain).

1. Receive recognition for excellence in service.
2. Provide significant contributions to Program or Department, or SHP committees and/or task forces.
3. Demonstrate significant contributions to a state or national professional organization.
4. Serve on an invited site visit team, advisory board, or provide consultation at another institution.
5. Provide exceptional service in an appointed administrative role within the Department or School.
6. Develop and implement community service programs related to candidate's profession or area of expertise.
7. Be a reviewer of extramural grants.
8. Serve as an editor or on editorial board for professional/refereed journals.
9. Demonstrate ability to assist other faculty to become competent in their areas of interest or program assignments.

Leadership – Candidate's service contributions are influential and include significant contributions to committees or organizations that enhance teaching and learning, research, or the field of practice.

(The following are EXAMPLES ONLY. Candidate is not required to provide evidence of service leadership using every example. Candidates may offer alternative evidence of leadership within this domain).

1. Chair committees in Department, School, and University.
2. Serve as a leader in state or national professional organization or community programs as demonstrated by chairing committees or serving as an officer or board member.
3. Provide consultations to health care organizations or educational programs.
4. Lead a team for external review or accreditation of other educational programs.
5. Provide leadership as a program or departmental administrator or as a community leader.
6. Serve as an editor or on editorial board for professional/refereed journals.
7. Receive awards or recognition for exceptional contributions to the advancement of the profession or field of practice.

Appendix B: SHP Promotion and Tenure Process Timeline

SHP Promotion and Tenure Process Timeline

No later than June 15th
- DRC will complete the review of candidates to document progress towards promotion and/or tenure. Priority will be given to tenure-earning, tenured, or non-tenured earning faculty who have not been regularly reviewed and/or who have not been reviewed in the past two (2) years.

No later than August 1st
- Candidates must inform the Department Chair, in writing, of their intention to seek promotion and/or tenure. The candidate and the Department Chair must discuss and identify any need for 'special case' categories and agree in writing how such special case submissions are to be documented and processed. The candidate's intention and any exception information must be communicated to the Dean by August 1.

No later than September 10th
- The Dean (or dean's designee) conducts a meeting with faculty who plan to submit portfolios for promotion and/or tenure and with the Department Chairs and DRCs.

No later than September 15th
- Department Chair will provide the candidate with a list of any supplemental materials requested by the DRC for the formal department review of the promotion and/or tenure portfolio.

No later than October 1st
- First draft of the candidate's official promotion and/or tenure portfolio is submitted to the DRC and Department Chair. This portfolio must include a cover letter addressed to the Dean specifying:
    - The specific rank and/or tenure sought.
    - The areas (teaching, scholarly activity, service) and the levels (mastery, excellence, leadership) for which documentation is required.
- Feedback based on the DRC and Department Chair review of the "first draft" will be given to the candidate in time for modifications to the portfolio before the official November 1st deadline date.

No later than October 15th
- The DRC selects names of external reviewers from the list generated by the Chair and the candidate. Department Chair contacts the identified reviewers and seeks commitments from them to review the portfolios.

No later than November 1st
- Candidate submits a revised portfolio to the Department Chair. No additions/deletions can be made to the portfolio after this time. The candidate does not have access to the official portfolio after this date.
- The Department Chair will send the portfolio to the FAC staff liaison. The portfolio and the current *SHP Promotion and Tenure Guidelines* will be uploaded to the SHP online

portal and external reviewers will be notified via email with instructions on accessing the materials online.

In December
- External reviews are returned, and feedback is provided to the Dean and Department Chair. These external review letters are placed in the official promotion/tenure portfolio and are not available to the candidate.

No later than January 1st
- The official portfolio with external reviews will be distributed to the DRC and Department Chair. Both entities will conduct independent reviews of the candidate's portfolio and will produce a written report/recommendation to be included in the official portfolio.

No later than February 15th
- Department Chair forwards the external reviews, formal DRC review, and independent Chair review to the FAC staff liaison.

No later than March 1st
- The FAC staff liaison will update the portfolio on the SHP online portal and give access to the Faculty Affairs Committee (FAC) for review.

April FAC Meeting
- Formal review of portfolios with recommendations made to the Dean.

No later than May 1st
- FAC submits recommendations to the Dean.

No later than May 28th
- The Dean will evaluate the entire portfolio and make a favorable or unfavorable recommendation.
  - If favorable, the portfolio will be forwarded to the Provost for review. If unfavorable, the portfolio will be returned to the Department Chair along with an explanatory letter from the Dean, and the results will be shared with the DRC. The portfolio will be returned to the candidate, without the external review letters.
  - At the candidate's request, the DRC will provide feedback to the candidate after the review process is completed. This feedback should not specify sources of information.

Appendix C: SHP Initial Appointment with Tenure Checklist

Checklist for Review of a Candidate for Initial Appointment with Tenure

1. The appointment with the award of tenure is consistent with the SHP criteria for the award of tenure.
   Yes ___ No___ Comments:

2. The candidate's preparation and experiences are consistent with the SHP criteria for tenure.
   Yes ___ No___ Comments:

3. The candidate has achieved levels of excellence in the area(s) of expected primary assignment and competence in the area(s) of secondary assignment comparable to the criteria outlines in the SHP tenure guidelines.
   Yes ___ No___ Comments:

4. A copy of the candidate's curriculum vitae provided sufficient and appropriate information to allow the Tenure Review Subcommittee reviewers to make a decision about the candidate to "affirm a quality process of appointment and to assure that appointments are made at the appropriate level of education and experience while meeting the needs of the School of Health Professions."
   Yes ___ No___ Comments:

5. The candidate for appointment with tenure meets the job description, duties and qualifications as described in the position advertised and in the letter of authorization from the Dean to the Department Chair for approval to recruit (or the Provost's approval letter if the appointment with tenure is to be at the school level).
   Yes ___ No___ Comments:

The Tenure Review Subcommittee makes the following recommendation to the Faculty Affairs Committee:

    Recommend to Appoint with Tenure   _____

    Recommend Not to Appoint with Tenure   _____

Comments: _____

_____

_____

Subcommittee Reviewer Signature _____ Date _____

Tenure Review Subcommittee Chair Signature _____ Date _____

Note: All matters brought before this review subcommittee or any related ad hoc group of SHP faculty must be addressed with standards based on ethics, privacy, and confidentiality. A code of ethics is essential in all matters before the FAC so that the FAC maintains the credibility needed to have valid input for the appointment with tenure review process.

Appendix D: SHP Faculty Activity Report and Annual Evaluation Form

The Faculty Activity Report and Annual Evaluation Form link is distributed annually to faculty by the Office of Academic and Faculty Affairs

Appendix E: SHP Faculty Resource Links

- [UAB Faculty Handbook and Policies](#)
- [You and UAB Handbook](#)
- [Biosafety Manual](#)
- [Robert's Rules of Order](#)
- AAC Policies and Procedures
- FAC Policies and Procedures
- [UAB Policies and Procedures Library](#)
- [UAB Conflict of Interest Review Board](#)
- [UAB Enterprise Conflict of Interest Conflict of Commitment Policy](#)