



**Faculty**

**Handbook**

**and**

**Policies**

**August 2025**



## **VISION**

UAB is a world-class research university and academic health system committed to understanding and improving the human experience.

## **MISSION**

UAB enriches society and improves health and well-being through transformational educational experiences, groundbreaking research, innovation and entrepreneurship, community engagement, and world-class patient care while serving our UAB, local and global communities.

## MESSAGE FROM THE PRESIDENT



It has been an honor to serve UAB for more than two decades—on faculty, as a chair and a dean, and as president—and work alongside talented faculty members from all corners of our campus. What has been daily evident over all these years is that UAB’s greatest asset is our people; in whatever department or discipline you work, it is your effort, dedication, and imagination that helps drives our success. And together we are having greater success and impact than ever, in all pillars of our mission: Education; Research, Innovation, and Economic Development; Patient Care; and Community Engagement.

We are enrolling, educating, and inspiring the best and brightest students, as we collaborate on our Student SUCCESS Initiative (Strategic and Unifying Campus Collaboration that Empowers Students to Succeed) to grow enrollment and create a seamless experience of student support from interest in UAB to graduation. We are equipping our students for success in a global knowledge economy through our distinctive Blazer Core Curriculum and innovative academic programs (some of them first of their kind regionally or nationally),

with record numbers of our graduate programs among the top 25 nationally in U.S. News & World Report. And we are expanding opportunity for higher education like never before, with first-generation students making up more than a third of our freshman population. This is all thanks to your excellence in teaching, mentoring, and supporting these students, at all levels, to achieve their academic goals.

Faculty in every school on campus are conducting groundbreaking, interdisciplinary research and scholarship, enabling us to become all the more competitive—and impactful—nationally and globally. We are translating that research into world-class patient care (in the nation’s eighth largest hospital and throughout our Health System) as well as new technologies and startup companies that are bringing better health, quality of life, and economic development to communities throughout our state and beyond.

We are also engaging our community more effectively than ever, as faculty in every discipline develop and participate in service projects and mentor their students to do the same—from arts and educational programming, to financial literacy and science fairs, to our many health-related initiatives. Our Grand Challenge, Live HealthSmart Alabama, involves faculty and students all over campus, as we continue partnering to improve health and revitalize neighborhoods throughout Birmingham and now statewide.

Building on a decade of unprecedented accomplishments, we are planning thoughtfully and collaboratively for the future. Our strategic plan, Forging Ahead (2024-2028), is now being executed by faculty campuswide, and our Research Strategic Initiative: Growth with Purpose, is helping us to accelerate the pace of discovery and maximize the impact of our research on people’s lives locally and globally.

Your dedication and leadership in realizing our ambitious aims will help make the next decade even more successful than our last, as we pursue a shared vision with shared governance and our shared values of Collaboration, Integrity, Respect, and Excellence. I look forward to our continued efforts in achieving both your personal career goals and the institutional goals of our great university.

With my best regards,

A handwritten signature in black ink that reads "Ray L. Watts".

**Ray L. Watts, M.D. | President**



## MESSAGE FROM THE SENIOR VICE PRESIDENT FOR ACADEMIC AFFAIRS & PROVOST



Dear Colleagues,

As senior vice president for Academic Affairs and provost, I take great pride in recognizing the dedication and expertise of our faculty members, each of whom plays an integral role in enhancing the academic excellence of UAB.

The Faculty Handbook is an extensive guide designed to support your scholarly endeavors, helping you excel and contribute meaningfully to our vibrant campus community. It outlines expectations, privileges, and obligations, encompassing various topics such as faculty development, teaching standards, research practices, and professional conduct. In an institution as complex and dynamic as UAB, well-defined policies and procedures empower our faculty to navigate varied responsibilities and opportunities.

Understanding and adhering to the provisions in this handbook ensures that our academic practices align with state and federal laws, UA System protocols, and accreditation requirements. It provides clarity on legal standards, protecting both faculty and the university. Clear expectations promote transparency, fairness, and accountability in each school, college, and unit across the enterprise.

UAB's shared governance model allows faculty, individually and through their school representatives on the Faculty Senate, to engage in its principles and contribute to the decision-making processes that shape our institution. In the event of conflicts or grievances, the handbook delineates procedures for resolution, fostering a constructive and respectful environment for addressing concerns and maintaining collegiality.

As faculty members, your roles extend beyond the classroom and research lab. You are stewards of knowledge, mentors to future leaders, and contributors to our community's intellectual and cultural fabric. Embracing the principles outlined in the Faculty Handbook is fundamental to fulfilling these roles effectively. To maximize this resource, I encourage you to familiarize yourself with the contents and seek clarification or guidance from relevant administrators or committees when interpreting or applying handbook policies.

Thank you for your continued service to the university, our students, and each other. Your commitment to student success, scholarly inquiry, and professional integrity is admirable and greatly appreciated. Together, we create an environment where learning thrives, ideas flourish, and innovation knows no bounds.

I am honored to serve as your provost and look forward to working with you!

A handwritten signature in black ink that reads "Janet Woodruff-Borden". The signature is fluid and cursive, with a horizontal line extending to the right.

Janet Woodruff-Borden, Ph.D.  
Senior Vice President for Academic Affairs & Provost

## FOREWORD

The provisions of the *Faculty Handbook and Policies*, known hereafter as the Faculty Handbook, apply to all faculty members, including those originally employed under the provisions of an earlier document, except in those unusual cases in which the application of a new provision will cause an arbitrary and unreasonable damage to, or loss of, any benefit to the faculty member.

Although this handbook intends to reflect current policies or rules of The Board of Trustees of The University of Alabama, referred to or incorporated herein, users are cautioned that changes or additions to such policies, or rules may have become effective since the approval and publication of this material. In the event of such a conflict, the current statements of Board policy contained in the official minutes and manual of rules, bylaws, and guidelines shall prevail.

This Handbook is not the only document containing faculty-related and other policies of the University. Approved policies concerning UAB employees are also published in other handbooks and manuals such as the *UAB Policies & Procedures Library* and the *You and UAB Handbook*. Also, there may be older policies or recently approved policies which are not yet published in any manuals and which are not included in this document. This handbook should not be used as a sole indication of whether or not UAB has a policy covering a particular subject. If further clarification or information is needed concerning the existence of a specific policy, please contact the Office of the Provost.

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# Introduction

The *Faculty Handbook* of the University of Alabama at Birmingham is issued by the President of the University of Alabama at Birmingham under the laws of the state of Alabama and the regulations of The Board of Trustees of The University of Alabama. [Section 16-47-34](#) of The Code of Alabama 1975 states in part:

The board of trustees has the power to organize the university by appointing a corps of instructors, who shall be styled the faculty of the university and such other officers as the interest of the university may require; to remove such instructors or officers, and to fix their salaries or compensation and increase or reduce the same at their discretion; to institute, regulate, alter or modify the government of the university, as they may deem advisable; to prescribe courses of instruction, rates of tuition, price of board, and regulate the necessary expenses of students; and to confer such degrees as are usually conferred by similar institutions. They may delegate to the faculty of the university, or other officers, such powers and functions in the government of the students, and in the administration of the affairs of the university, as they may deem proper...

Further, the [Board of Trustees Bylaws](#), Article 5, Section 3, indicates:

...the President shall perform duties and responsibilities including but not limited to the following:  
...4. Personnel administration including employment and termination, wage determination, and conditions of employment for faculty and other employees of the campus.

Additionally, the Board of Trustees [Board Rule 108](#) states:

Although the policies contained herein are intended to reflect current rules and policies of the University, users are cautioned that changes or additions may have become effective since the publication of this material. In the event of such a conflict, current statements of Board policy contained in the Bylaws, Rules, official minutes, and other pronouncements of the Board or Chancellor, or superseding law, shall prevail.

The *UAB Faculty Handbook* will be reviewed, and revisions will be recommended to the President, by the UAB Faculty Policies and Procedures Committee of the Faculty Senate, after consultation with the faculty and appropriate faculty groups. Suggestions for changes to the Handbook should be directed to the Chair or members of the UAB Faculty Policies and Procedures Committee. The *UAB Faculty Handbook* shall be reviewed and updated as needed. The UAB Provost will inform the UAB Faculty Policies and Procedures Committee of any Board of Trustees rule changes that appear to be in conflict with the UAB Faculty Handbook.

This Handbook does not attempt to include all UAB policies. Employee policies which relate to faculty are contained in the Policies and Procedures Library and in the *YOU and UAB Handbook*. These UAB policies may be revised periodically, and changes to these policies may constitute a change to the *UAB Faculty Handbook and Policies*. It is the responsibility of the UAB Faculty Policies and Procedures Committee to review proposed Faculty Handbook and/or faculty policy changes and to make recommendations through the Faculty Senate to the President. It is the responsibility of the Provost to ensure that changes in policy approved by the President will be transmitted to each dean, department/unit head and distributed to the faculty.

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# 1.0 Organization

## 1.1 History

The University of Alabama was projected in the Constitutional Convention in Huntsville, Alabama Territory, on June 5, 1819. The University was opened for admission of students on April 8, 1831, at Tuscaloosa.

During the first half of the twentieth century, in addition to its regular educational programs at the Tuscaloosa campus, the University began to offer additional educational opportunities to citizens in the urban communities throughout Alabama. Extension centers, open for both day and night classes, were established in Birmingham, Huntsville, Montgomery, Mobile, Dothan, and Gadsden. The Birmingham and Huntsville centers were the nuclei for the two new University campuses which were later established in addition to the Tuscaloosa campus.

The first extension classes were offered in Birmingham in September 1936. The major growth in Birmingham activities began in 1945 when the medical school was moved from the Tuscaloosa campus and a new medical center was established. In 1954 a new building for the extension program was completed adjacent to the growing and rapidly expanding medical center, and for the first time the University's Birmingham operations were combined physically within the same geographic area.

In September 1966, all University operations in Birmingham were designated as The University of Alabama in Birmingham by the Board of Trustees, with the University Extension Center's being transformed into a four-year, degree-granting branch of the campus in Tuscaloosa. Two months later, a vice president for Birmingham Affairs was named with administrative responsibilities for all operations in Birmingham; he reported directly to the president of The University of Alabama.

In June 1969, the campuses were given independence within the framework of The University of Alabama System. By this action, The University of Alabama in Birmingham became one of the three major autonomous campuses of the University system, with each campus having its own administrative structure with a president as the chief executive officer. The new three-campus system included The University of Alabama, The University of Alabama in Birmingham, and The University of Alabama in Huntsville, which had been established in 1964 as a four-year school. In 1984, the name of The University of Alabama in Birmingham was changed to The University of Alabama at Birmingham.

## 1.2 Governance

The University of Alabama System is governed by a Board of Trustees. The System has a Chancellor and a full-time staff which provide liaison with the campus administrations for the Board and its various committees. Each campus has its own appropriate organization.

### 1.2.1 Board of Trustees

The [Board of Trustees Bylaws](#), Article I, Sections 1 and 2, state:

The Board consists of the Governor of the State of Alabama, ex-officio, who serves by virtue of the respective office, three members elected by the Board from the congressional district in which the Tuscaloosa campus is located, and two members elected by the Board from each of the other congressional districts in the State of Alabama as those districts were constituted on January 1, 2018. The Governor shall serve only while holding the office of Governor. Elected Trustees shall hold office for a term of six (6) years, commencing on the date of their election except as modified

below. When the term of any Trustee shall expire, or in case of a vacancy by death or resignation of a Trustee, or from any other cause, the remaining Trustees shall elect a successor by secret ballot; provided, that any Trustee so elected shall hold office from the date of his election until his confirmation or rejection by the Senate, and, if confirmed, until the expiration of the term for which elected and until his successor is elected, or, in the case of a vacancy, for the unexpired term for which he was elected and until his successor is elected. If the Senate should reject the name of any Trustee, it shall thereupon elect Trustees in the stead of those rejected. Neither the existence nor continuation of a vacancy in the office of a Trustee shall serve to impair or hinder any provisions of these Bylaws or the validity of the operations and actions of the Board by virtue of that vacancy alone. A Trustee shall not serve more than three consecutive full six (6) year terms on the Board.

The Board has delegated to each campus President the authority to administer the policies and programs of that institution. A System Council, composed of the Chancellor and the three Presidents and selected members of the System staff, makes recommendations to the Board concerning matters affecting the common interests of The University of Alabama System. They also act on matters of intercampus significance not requiring Board approval.

### **1.2.2 The University of Alabama at Birmingham (UAB)**

The University of Alabama at Birmingham (UAB) is governed by its President in accordance with Board rules and System policies and was accredited as an independent educational institution in 1970 by the Southern Association of Colleges and Schools. The accreditation was reaffirmed in 1984, 1994, 2005, and 2015. Individual schools and programs at UAB have been accredited, where appropriate, by independent accrediting groups.

Consistent with [Board Rule 503](#), academic units at UAB are Schools, which typically encompass a professional discipline (e.g., Medicine, Engineering, etc.); Colleges, which encompasses multiple disciplines (e.g., Arts & Sciences); or Libraries. Academic units are under the administration of a dean and support the UAB Mission ([1.3.2](#)) through instructional, research, and/or service programs. UAB includes the following academic units [defined as schools, libraries, and colleges]:

- 1) Collat School of Business
- 2) College of Arts & Sciences
- 3) School of Dentistry
- 4) School of Education and Human Sciences
- 5) School of Engineering
- 6) School of Health Professions
- 7) Heersink School of Medicine
- 8) School of Nursing
- 9) School of Optometry
- 10) School of Public Health
- 11) UAB Libraries

Units without primary faculty appointments ([2.5.1](#)):

- 12) The Graduate School
- 13) Honors College

Academic units are structured into [academic departments](#), which are administered by a chair and contain primary faculty appointments ([2.5.1](#)). Divisions are within academic departments and are typically administered by a director. [Administrative departments](#) differ from academic departments in that they do not have primary

faculty appointments, do have varying administrative structures, and support operations and/or other business functions of the institution.

[Board Rule 503](#) defines [Centers or Institutes](#) as being focused on efforts, usually multidisciplinary in nature, toward meeting a specialized need or dealing with a current issue. Centers or institutes may be unit-based or university-wide.

#### **1.2.2.1 UAB Faculty Participation in Shared Governance in a Community of Learners**

As reflected in the preamble of the UAB Faculty Senate Constitution, the principle of shared governance is essential for ensuring a culture of trust, collaboration, and mutual accountability. Faculty participation in governance promotes a diversity of ideas, collaboration, shared responsibility, collegiality, and institutional excellence.

Faculty shall have representation on committees/groups at the University and academic unit level that support the practice of shared governance. Refer to the Faculty Senate website at <http://www.uab.edu/facultysenate> then Documents for the Faculty Senate preamble, constitution and bylaws. Refer to UAB's Policies and Procedures Library for a compilation of UAB policies, procedures and guidelines at <http://www.uab.edu/policies>.

##### **1.2.2.1.1 Faculty Representation and Participation on University Committees**

Certain University standing committees address issues related to the primary purpose and priorities of the University; these committees have a broad impact and are better informed by faculty representation. University committees for which the Faculty Senate should recommend representatives may include but are not limited to those listed on the [UAB University-Wide Committees website](#).

All University standing committees shall have written copies of their function and structure available for faculty. University ad-hoc committees that affect university faculty shall have faculty representation selected by the [Faculty Senate](#).

##### **1.2.2.1.2 Faculty Representation and Participation on Academic Unit or Departmental Committees**

Faculty participation on standing and ad hoc committees at the academic unit or departmental levels is critical to the mission and goals of the academic units and the University in teaching, research and scholarship. Forms of faculty governance will vary among units and should be regularly updated. Academic standing committees shall have written copies of their function and structure available for faculty. On ad hoc committees at the unit level, an appointing authority will communicate in writing to the committee chair and participating faculty members the purpose of the committee as well as an expected timeline for completion of the charge. Ad hoc groups or committees are meant to be time limited and dissolved upon completion of their charge.

##### **1.2.2.1.3 Faculty Participation in Evaluation of University and Academic Administrators**

###### **1.2.2.1.3.1 Faculty Senate Evaluation of University and Academic Administrators**

The Faculty Senate Executive Committee of the UAB Faculty Senate shares responsibility with the President and Provost for periodic evaluations of academic administrators (chairs and deans) and university administrators (the Provost and the President) by their constituents. The Senate evaluations shall be utilized by the immediate supervisor as a component of comprehensive reviews to assess performance of responsibilities.



Within 120 days of distribution of results, all administrators who are evaluated will provide to the evaluating constituents, written and verbal feedback on the report including plans to address all major survey outcomes.

Full- and part-time regular faculty members of the University have the right to participate in these Senate administrator evaluations.

#### **1.2.2.1.3.2 Faculty Participation in Administrator Evaluations Conducted at the Academic Unit or Departmental Level**

All faculty members with a primary academic full-time or part-time appointment may also evaluate deans, associate or assistant deans, department chairs, or program directors/coordinators at an academic or departmental level independent of Faculty Senate evaluations (e.g., requirement of accreditation standards, achievement of strategic plans) if said administrators are not included in the Faculty Senate evaluations. These independent evaluations will be developed by faculty and administrators of the academic unit or department.

### **1.3 Mission**

The University of Alabama System Mission states that “The University of Alabama System, an institution of higher education created for learning, exists to improve the lives of everyone we affect through the teaching, research, and service rendered by our component campuses and health system.”

#### **1.3.1 The University of Alabama System**

The three-campus University of Alabama system has an impressive record of service to the people of the state. From its beginnings as Alabama’s first university, it has traditionally provided educational leadership for the state and should continue to do so. Its role is to serve all the people of the state through teaching, research, and public service and, as resources permit, respond to both national and international needs.

The Board of Trustees clearly recognizes the diverse and comprehensive nature of the University of Alabama System. It provides instruction for students at all levels. It supports graduate education and research. It is committed to broad public service. The extraordinary degree to which the state’s economy is dependent upon the results of research and technology leads the Trustees to reaffirm The University of Alabama System’s commitment to both pure and applied research, a function especially appropriate to this university’s system. Professional education is equally important to Alabama. None of these, however, overshadows The University of Alabama System’s commitment to the instruction of undergraduate students.

#### **1.3.2 The University of Alabama at Birmingham**

As part of its 2024-2028 [strategic planning](#), UAB adopted the following vision statement, “*UAB is a world-class research university and academic health system committed to understanding and improving the human experience.*”

This vision is accomplished through a mission that states, “*UAB enriches society and improves health and well-being through transformational educational experiences, groundbreaking research, innovation and entrepreneurship, community engagement, and world-class patient care while serving our UAB, local and global communities.*”

Shared Values supporting the mission.

*We CARE*

- *Collaborate: Work as a team for the greater good.*
- *Act with integrity: Be accountable and always do the right thing.*
- *Respect all: Champion diversity and opportunities for all, with civility.*
- *Excel: Innovate and strive for excellence in everything we do.*

The foundation of the university mission rests on four fundamental pillars.

- I. *Education:* Prepare UAB's student body to become healthy, engaged global citizens and leaders by providing a world-class, socially conscious education.
- II. *Research, Innovation and Economic Development:* Empower innovative research, scholarship and creative activities that drive knowledge and job creation focused on improving society.
- III. *Community Engagement:* Engage with UAB and external communities in meaningful and mutually beneficial collaborations that contribute to the public good.
- IV. *Patient Care:* Provide the highest-quality patient-centered integrative care and translate discoveries into revolutionary therapies.

Further information, including priorities and summaries, is maintained on [UAB's website](#).

## **2.0 Faculty Appointments, Promotions, Tenure, Resignation, Termination, and Grievance**

UAB is composed of diverse academic units, each with its own special needs. The general policies set forth in this section are to serve as overall guidelines in the administration of faculty matters and in meeting UAB's Role and Scope.

### **2.1 UAB Equal Opportunity Policy**

See UAB's [Equal Opportunity and Discriminatory Harassment Policy](#)

### **2.2 Faculty Rights and Responsibilities**

In accepting appointment to the faculty of UAB, faculty members commit to continuing professional development and assume an obligation for active involvement in teaching, scholarship, and/or service as defined by the nature of their appointments. Faculty members also accept the responsibility to respect the rights of students and other faculty, to maintain honesty and integrity, and to adhere to other stated policies and procedures of the institution. Faculty members have the right to ensure a safe teaching/learning environment without disruption as defined in Section V-F-2 of the [Student Conduct Code](#). In addition to those responsibilities noted above, the responsibilities with respect to teaching, scholarship, and service and the specific rights and responsibilities described elsewhere in this Handbook, the faculty of UAB will be involved individually or through representative committees in specific UAB activities such as:

- Determining requirements for student admissions
- Recommending the designations of degrees
- Approving the requirements for degrees
- Determining the courses for which students may receive credit toward a degree
- Determining course content
- Determining program curriculum content
- Determining the grades of courses and examinations
- Determining the scholastic standards required of students
- Recommending those students who qualify for degrees
- Participating in disciplinary proceedings for academic misconduct
- Participating in the selection of their department chairs, deans, Provost, and President
- Participating in the periodic evaluation of their department chairs, deans, Provost, and President
- Recommending to their deans regarding faculty appointments, reappointments, promotions, the award of tenure, and other faculty employment issues
- Advising all levels of administration regarding the allocation and utilization of resources
- Advising the President and Provost regarding faculty responsibilities and needs or matters of general interest and concern to the faculty and to UAB.

### **2.3 Faculty Senate**

The Faculty Senate is the elective body charged with representing the interests of the faculty to the administration. It derives its authority from the Constitution and Bylaws of the Faculty, which were adopted by a majority vote of the faculty in 1995. The Constitution and Bylaws define the faculty members who are eligible to vote for, and serve as, members of the Senate; the purposes and powers of the Senate; and the Senate's structure,

organization, and procedures. The Constitution and Bylaws also describe the procedures by which they may be amended.

## **2.4 UAB Faculty Policies and Procedures Committee**

The Faculty Policies and Procedures Committee (FPPC) is a standing committee of the UAB Faculty Senate. The FPPC is charged with the responsibility of providing advice to the Faculty Senate, the Administration and the President regarding UAB policies and procedures, which affect UAB faculty. It reviews proposed new and revised university-wide policies and procedures, which affect faculty and considers changes to the UAB Faculty Handbook and Policies to ensure their consistency with Senate and UAB practice. Working together with the UAB Faculty Senate, Faculty, and Administration, the FPPC recommends changes to ensure that policies and the Handbook are up-to-date and attuned to the needs of the UAB faculty.

**Membership of the FPPC:** Voting members consist of one full-time regular faculty appointee from each constituent unit, except the College of Arts and Sciences, which has three full-time regular faculty appointees. Voting members are selected by the Chair of the Faculty Senate from the Senators and Alternates or other faculty of their respective units. Voting members also include one appointee of the President and one appointee of the Provost.

Ex-Officio members have the privilege of participating in the discussions of the committee but may not make any motions or vote. To assist in conducting the business of the Committee, the Chair may appoint ex-officio members as needed. Permanent ex-officio members consist of one representative from each of the Office of Counsel, University Compliance Office, and Department of Human Resources; and the immediate Past Chair of the FPPC, the Chair-Elect of the Senate, and the UAB Ombuds.

If a regular member of the FPPC cannot attend a meeting, that member should ask that a Senator or Alternate Senator or faculty member representing the member's school or unit attend on the member's behalf. This individual will have voting rights, as specified in the FPPC operating rules.

A simple majority of the members shall constitute a quorum for both regular and called meetings. Members who synchronously connect to the meeting electronically shall be voting members and be counted for the quorum.

Recommendations from the committee concerning revisions to the *UAB Faculty Handbook and Policies* or to existing policies and procedures are forwarded to the Faculty Senate. The Faculty Senate must make final recommendations to the Provost regarding changes to the *UAB Faculty Handbook and Policies* or to existing policies and procedures. Feedback from the FPPC concerning policies developed or revised by Enterprise or University compliance committees are forwarded to the initiating committee and copied to the Chair of the Senate.

## **2.5 Types of Faculty Appointments**

UAB Faculty are members of the academic community who are employees or appointed volunteers within UAB Enterprise and whose efforts in teaching, research, scholarly contribution, patient care, and/or service fulfill the UAB institutional mission (Section [1.3.2](#)). All faculty appointments are described by an assignment category, appointment type (e.g., tenured, tenure-earning, or non-tenure-earning), and rank (e.g., instructor, assistant professor, associate professor, or professor). Faculty appointment assignment categories and associated benefits are defined in [HR Policy 411](#) and may be full-time regular (Sections [2.5.1](#) and [2.5.5](#)), full-time temporary (Section [2.5.7](#)), part-time regular (Sections [2.5.4](#) and [2.5.5](#)), or contingent (Section [2.5.5](#)). A Full Time Equivalency (FTE) of 1.0 is typically attributed to full-time appointments, while part-time appointments have an FTE  $\geq 0.5$ . All appointments with FTE  $< 0.5$  are contingent. Faculty categories may differ in benefits, rights, privileges, and

responsibilities. Common rights and responsibilities available to all faculty are described in Sections [2.2](#), [2.5](#), [2.6](#), [2.9](#), and [3.1](#) through [3.16](#).

Regular faculty appointments may be tenured (Sections [2.5.1](#) and [2.5.4](#)), tenure-earning (Sections [2.5.1](#) and [2.5.4](#)), or non-tenure-earning (Section [2.5.5](#)), with differing evaluation criteria for promotion and/or applicable award of tenure (Section [2.10](#)). Regular faculty appointments have benefits; accrue vacation, holidays, and sick time; and have employment of indefinite duration. Tenured and tenure-earning faculty may be eligible for sabbatical leave (Section [4.4](#)). Full-time regular faculty may have a twelve-month or nine-month appointments ([2.5.1](#)) which differ in time-off (Section [4.1.1](#)), holidays (Section [4.1](#)), vacation (Section [4.2](#)), sick time (Section [4.3](#)), and other leave types (Sections [4.4.4](#), [4.5.5](#), and [4.5.7](#)). Part-time regular appointments (Section [2.5.4](#)) are similar to full-time but differ in benefits, holidays, vacation, and sick leave. Faculty privileges and procedures associated with regular faculty are described in the following sections of this Handbook and include representation and participation (Section [1.2.2.1](#)), appointments (Sections [2.11](#) and [2.12](#)), reappointments (Section [2.13](#)), promotions (Section [2.16](#)), award of tenure (Section [2.15](#)), appeals (Section [2.17](#)), termination (Section [2.18](#)), grievance (Section [2.19](#)), resignation (Section [2.20](#)) and retirement (Section [2.21](#)).

Full-time temporary faculty appointments (Section [2.5.7](#)) are non-tenure-earning (Section [2.5.5](#)); have a duration as specified in a letter of offer or contract; do not accrue vacation, holidays, or sick time; have limited benefits; and are not eligible for some regular faculty privileges (Sections [2.11](#) to [2.13](#) and [2.15](#) to [2.21](#)) but rather follow terms described in a letter of appointment or contract. Conflict resolution is addressed through supervisory structure (Section [3.6](#)).

Contingent faculty appointments, formally known as irregular or non-regular appointments, are non-tenure-earning (Section [2.5.5](#)) and include all faculty appointments with an FTE < 0.5, but may additionally include faculty without a regular reporting schedule up to full-time. Contingent appointments also may be used for additional assignments (Section [2.5.2](#)). Contingent faculty are not eligible for UAB benefits and are not eligible for some regular faculty privileges (Sections [2.11](#) to [2.13](#) and [2.15](#) to [2.21](#)) but rather follow terms described in a letter of appointment or contract. Some contingent appointments may be eligible for promotion beyond the initial rank (Section [2.6](#)) following procedures within a unit or departmental handbook. Conflict resolution is addressed through supervisory structure (Section [3.6](#)).

Voluntary faculty appointments have rank; are non-tenure-earning, receive no salary or benefits; and have faculty privileges as specified in a letter of appointment.

All regular faculty and all temporary and contingent faculty exceeding the effort threshold defined in Section [2.14.1](#) must have an annual evaluation (Section [2.14](#)). All faculty are appointed in one of the four university ranks (Section [2.6](#)) or in a Special Faculty Rank (Section [2.8](#)). Faculty in non-tenure-earning ranks may have titles with optional descriptive terms (Section [2.5.5](#)). Faculty may have primary or secondary administrative appointments (Section [2.5.3](#)), including President, Provost, vice-president, dean, department chair, or director. The following tables further define and describe UAB Faculty.

**Table 2.5a. Cross-Referenced Regular Faculty Rights and Appointment-Related Procedures by Rank**

Type / Rank	Full-time (01)	Part-time (03)	Rank descript- tors	Faculty Rights	Appoint- ment	Re- appoint- ment	Non-re- appoint- ment	Termin- ation	Annual Evalu- ation	Promo- tion	Attain Tenure
<b>Tenured (T)</b>											
Associate Professor (2.6.3)	Yes	Yes, 2.5.4	No	2.2, 3.1, 3.2	2.5, 2.12.1	n/a	n/a	2.18.1, 2.18.2	2.14	2.10, 2.16	n/a
Professor (2.6.4)	Yes	Yes, 2.5.4	No	2.2, 3.1, 3.2	2.5, 2.12.1	n/a	n/a	2.18.1, 2.18.2	2.14	n/a	n/a
<b>Tenure-Earning (TE)</b>											
Assistant Professor (2.6.2)	Yes	Yes, 2.5.4	No	2.2, 3.1, 3.2	2.5, 2.12.3	2.13.2, 2.15.4	2.13.2, 2.13.3, 2.13.4	2.13.5	2.14	2.10, 2.16	2.10, 2.15.8
Associate Professor (2.6.3)	Yes	Yes, 2.5.4	No	2.2, 3.1, 3.2	2.5, 2.12.3	2.13.2, 2.15.4	2.13.2, 2.13.3, 2.13.4	2.13.5	2.14	2.10, 2.16	2.10, 2.15.8
Professor (2.6.4)	Yes	Yes, 2.5.4	No	2.2, 3.1, 3.2	2.5, 2.12.4	2.13.2, 2.15.4	2.13.2, 2.13.3, 2.13.4	2.13.5	2.14	n/a	2.10, 2.15.8
<b>Regular Non-Tenure-Earning (NTE)</b>											
Instructor (2.6.1)	Yes	Yes	2.5.5	2.2, 3.1, 3.2	2.5, 2.5.5, 2.12.2	2.13.1, 2.12.2	2.13.2, 2.13.3, 2.13.4	2.13.5	2.14	2.10, 2.16	n/a
Assistant Professor (2.6.2)	Yes	Yes	2.5.5	2.2, 3.1, 3.2	2.5, 2.5.5, 2.12.3	2.13.1, 2.12.3	2.13.2, 2.13.3, 2.13.4	2.13.5	2.14	2.10, 2.16	n/a
Associate Professor (2.6.3)	Yes	Yes	2.5.5	2.2, 3.1, 3.2	2.5, 2.5.5, 2.12.3	2.13.1, 2.12.3	2.13.2, 2.13.3, 2.13.4	2.13.5	2.14	2.10, 2.16	n/a
Professor (2.6.4)	Yes	Yes	2.5.5	2.2, 3.1, 3.2	2.5, 2.5.5, 2.12.4	2.13.1, 2.12.4	2.13.2, 2.13.3, 2.13.4	2.13.5	2.14	n/a	n/a

**Table 2.5b. Miscellaneous Definitions for Faculty Appointments**

<b>Definitions</b>	
Regular vs Contingent	Regular refers to faculty appointments with a repeating reporting schedule which may be reappointed indefinitely (e.g., 12-month full-time reporting). Contingent appointments do not have an expectation of a regular reporting schedule and may be employed on a temporary basis or hired on an as-needed basis.
Part-time Faculty	Regular appointments having an FTE $\geq 0.5$ but less than 1.0. All appointments with an FTE $< 0.5$ are designated “contingent.”
Voluntary Faculty	NTE appointment with rank. No salary or benefits.
Graduate Faculty	2.5.6. May be T, TE, and NTE faculty. Supplementary to a primary appointment.
Emeritus Faculty	2.8.5. Prestigious appointment typically reserved for retired faculty
Distinguished Professor	2.8.1. Prestigious university-wide special faculty rank defined by Board Rule 508.
Distinguished Service Professor	2.8.2. Prestigious university-wide special faculty rank defined by Board Rule 508.
University Professor	2.8.3. Prestigious university-wide special faculty rank defined by Board Rule 508.
Instructor of Record	Term described in 2.9 to define the person responsible for a course, unrelated to rank.
Credentialed Course Instructor	Term sometimes used for contingent faculty with rank of Instructor.
Descriptive Terms	2.5.5. Optional terms used in conjunction with non-tenure-earning ranks sometimes used to clarify focus of major effort. The six common descriptors are Clinical, Research, Teaching, Adjunct, Visiting, and Affiliate.
Full Time Equivalency (FTE)	Describes workload where FTE of 1.0 is considered full-time, 0.5 considered half-time, or a proportional value.

Nine-month vs Twelve-month appointments	Full-time regular primary appointments ( <a href="#">2.5.1</a> ) that differ by time-off ( <a href="#">4.1.1</a> ) and some benefits ( <a href="#">4.1</a> , <a href="#">4.2</a> , <a href="#">4.3</a> , <a href="#">4.4.4</a> , <a href="#">4.5.5</a> , and <a href="#">4.5.7</a> ). All other faculty rights and responsibilities are the same.
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## 2.5.1 Primary Faculty Appointments

The primary faculty appointment is usually in a department, or in its absence, a school, college, or UAB Libraries, through which a faculty member has a primary academic affiliation. It is through this unit that a tenured faculty member holds tenure in the University, and it is from the department chair of the primary unit that recommendations for appointment, promotion, tenure, termination, and other actions concerning a faculty member including annual review are initiated.

School-wide appointments, wherein the dean is directly responsible for the faculty member, may be made after such recommendations for appointment have been reviewed by a school's faculty affairs committee and have been approved by the dean, the Provost, and President. In no circumstances will a primary appointment be made in centers, divisions, laboratories, programs, or institutes.

A faculty member holding a full-time regular appointment at UAB and a concurrent appointment at another institution, whether paid or unpaid, may represent a conflict of commitment, see Section [3.11.1](#).

The terms of a primary appointment are described initially in a letter of offer. Although the following appointment types are not exclusive to any [academic unit](#), health-related schools (e.g., Medicine, Dentistry, Optometry, etc.) and UAB Libraries typically offer twelve-month appointments the duties of which span the entire year. Schools and the college whose activities follow the university [academic calendar](#) (e.g., Arts & Sciences, Engineering, Business, etc.) typically offer both nine-month and twelve-month appointments. The nine-month appointments follows the academic year with time-off during the summer months (Section [4.1.1](#)), while the twelve-month type usually (a) describes addition of administrative or other non-academic duties performed during the summer months (i.e., not teaching or research) and (b) reverts to a nine-month appointment should those duties end. Holidays, vacation, sick time and leave may differ between the appointment types as described in [4.1](#) through [4.5.7](#), although all other benefits, rights, and responsibilities are the same for both appointment types and span the entire year. Nine-month appointments provide twelve months of service credit for retirement purposes, and faculty with such appointments can be offered additional compensated teaching, research, or other activities during the time-off period. Faculty with nine-month appointments may be eligible to distribute compensation over a 12-month period. Irrespective of 9- or 12-month appointment status, faculty must comply all 12 months with the reporting requirements detailed in section [3.11](#).

Faculty appointments to the Honors College, the Graduate School ([2.5.6](#)), or centers or institutes are supplemental to a primary appointment and differ from secondary faculty appointments ([2.5.2](#)) and non-academic appointments ([2.5.3](#)).

## 2.5.2 Secondary Faculty Appointments

An individual faculty member may hold one or more secondary appointments with an academic unit in addition to, and outside of, the academic unit of the primary faculty appointment. Academic rank in a secondary appointment may be at the same level but may not be at a level higher than that of the primary appointment. No tenure is possible through the unit making a secondary appointment.



### **2.5.3 Non-academic Appointments**

Members of the faculty also may hold administrative or other non-faculty appointments at UAB. Administrative appointments are for no specific term or for a specified term with optional indefinite renewal but, in either case, continue at the discretion of the supervising administrator.

### **2.5.4 Part-Time Tenure-Earning and Tenured Appointments**

While tenure-earning and tenure appointments are normally full-time regular appointments, UAB recognizes the importance of allowing flexibility in employment so that faculty members can better manage the balance between their professional work and family or personal obligations over a defined period of time, or perhaps permanently. This policy is intended to encourage departments to accommodate reasonable requests for part-time appointments; however, approval of part-time appointments is at the discretion of the department chair, dean and provost and part-time appointments are not an entitlement, and requests may be denied when the faculty member and the department cannot agree on a workable plan.

Tenure-earning faculty members may make a request for a part-time regular appointment only for reasons of balancing work and family for the arrival or care of a child, the care of a family member or member of the immediate household, or for personal circumstances related to the health of the faculty member. Such acceptable reasons include the qualifying circumstances covered by Family Medical Leave including personal medical leave and military leave. Faculty members should consult with Human Resources about eligibility and policies regarding Family Medical Leave and Personal Medical Leave before requesting part-time appointments. In addition, they may request a *term* part-time appointment only, allowing the issue to be revisited on a defined cycle. While such term appointments can be renewed throughout the tenure-earning (probationary) period, an indefinite part-time appointment will not be granted until tenure is awarded.

Tenured faculty members may request either term or indefinite part-time appointment for reasons stated above, or to balance work at UAB with professional practice or significant community or public service, for example, a faculty member who wishes to serve as a consultant in addition to an appointment at UAB, or a faculty member who wishes to engage in entrepreneurial activity outside of university responsibilities. Other reasonable justifications may be considered if approved by the departmental chair, dean and provost. University policies pertaining to internal and external activities, conflicts of interest and intellectual property must be addressed and applied in arranging part-time appointments.

Requests for conversion from full-time to part-time appointments may only be initiated by the faculty member. The reasons for the request for a change in the percentage of appointment should be clearly stated. The department chair should make a careful assessment of the needs of the department, and work with the faculty member requesting the part-time appointment to facilitate the request if possible. The period for which the part-time appointment is granted shall be clearly stated. The period can be for one semester or can be an equivalent period for those faculty members whose responsibilities are not directly tied to teaching on the semester academic calendar (up to two years) or indefinite.

The written agreement should include a detailed statement of work expectations for the part-time appointment. Generally, faculty members should continue to contribute to all areas of responsibility, but with reduced expectations for accomplishment, proportional to the percentage of a full-time appointment. Service responsibilities for faculty members on part-time appointments are generally seen as proportional to their appointments. Faculty members on part-time appointments are not excused from usual departmental, school, or university service because of part-time appointments.



The written agreement for either an initial appointment or a conversion of a full-time appointment to part-time status, and any subsequent renewal, must be approved by the faculty member, department chair, dean and provost.

Part-time appointments will be either for a stated *term* or *indefinite*. *Term* part-time appointments may be made in increments from one semester or equivalent (see above), up to two years. During the duration of a part-time term appointment, terms of the appointment will only be changed by the agreement of the parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department can plan accordingly.

For *indefinite* part-time appointments, a return to full-time appointment is not guaranteed. If tenured, the faculty member remains entitled to the tenured appointment on the part-time basis only. However, an increase in the percent appointment up to full-time may be renegotiated between the faculty member and department chair if mutually agreeable and funds are available. Final approval will be provided by the dean.

Faculty members on part-time appointments, whether term or indefinite, retain all the rights and responsibilities attendant to their appointment as a tenure-earning or tenured faculty member.

Part-time appointments can be made for any fraction from 50% ( $FTE \geq 0.5$ ) up to a full appointment (100% or  $FTE = 1.0$ ); faculty members will receive proportional salary. Faculty members considering such appointments are responsible for meeting with representatives in Human Resources so that they will clearly understand the consequences of the change to their benefits. Office and laboratory space may be adjusted for longer term or permanent part-time appointments.

### **2.5.5 Non-tenure-earning Faculty Appointments**

Non-tenure-earning faculty appointments may be conferred on full-time regular, part-time regular, full-time temporary, or contingent faculty whose responsibilities may be less broad than tenure-earning or tenured faculty and whose appointments may be limited in time. At the discretion of the school and department involved, the non-tenure-earning faculty may serve on school and departmental committees and may be appointed to the Graduate Faculty. Non-tenure-earning faculty are governed by the policies and procedures in the *Faculty Handbook*; however, their privileges may be defined further by the appointing school for activities within that school.

Non-tenure-earning faculty appointments may include faculty ranks with or without such descriptive terms such as Clinical, Research, Teaching, Adjunct, Visiting, or Affiliate. The optional preceding six descriptors may be used to define the effort of non-tenure-earning faculty ranks more clearly, but the descriptors do not constitute a different rank. Common descriptors follow.

- Clinical – Major role in a school is primarily related to a healthcare education or service mission of the school.
- Research – Primary responsibility is conducting research, and typically paid from grant or contract funds.
- Teaching – Primary responsibility is assisting in a school's educational mission.

The following are non-tenure-earning appointments that apply to faculty with or without other faculty designations.

- Adjunct – Designates individuals who are generally not full-time employees of UAB, but who are appointed to the faculty of a school to perform instructional, research, and/or service functions.
- Visiting – Courtesy designation given to a visitor from another institution of higher education or from an appropriate organization or agency on a temporary duty assignment within a component of UAB. If the individual is from an institution of higher education, they shall be given a rank that is equivalent to the rank held in their home institution.
- Affiliate – Designation reserved for an individual at another academic or research institution or entity that is affiliated with UAB as part of an affiliation, partnership, or joint program that contemplates dual or joint appointments and that has been established by a formal written agreement approved by the Provost in accordance with UAB’s contract process. The appointment as an Affiliate may not be used for regular appointments,<sup>\*</sup> and use of the designation must also be approved by the Provost on an individual-by-individual basis. UAB may require an Affiliate faculty member to complete annual reporting forms as detailed in [Appendix G](#), and [Section 3.11](#). Qualifying faculty whose primary regular appointment rests outside UAB may use the descriptor “Affiliate” before their rank at UAB.

The optional descriptor may be used in a faculty title with a faculty rank and academic unit or department (e.g., a Clinical Associate Professor of Medicine, an Adjunct Instructor of Microbiology, or a Visiting Professor of Engineering). Other descriptors may be used as well with Provost approval. Full-time and part-time non-tenure-earning faculty, whose effort is more broadly engaged in teaching, research, scholarly or service activities, typically do not have descriptors associated with rank.

With approval of the Provost, schools may use the title of “Clinician” (without use of the titles “Instructor,” “Assistant Professor,” “Associate Professor,” or “Professor”) to designate non-faculty members affiliated with their schools engaged in healthcare service, such as clinicians practicing in a UAB-affiliated clinic. Individuals holding such positions shall not be considered faculty members under this Faculty Handbook.

Non-tenure-earning faculty members may be appointed for specific terms of up to five years. Such appointments may be renewed for more than one year. Departments, schools, college, or UAB Libraries may adopt policies limiting the overall length of UAB employment for non-tenure-earning faculty members within that unit. A non-tenure-earning appointment does not carry with it the assurance of reappointment beyond the current appointment period. However, the policies governing notice of non-reappointment apply to all non-tenure-earning appointments including those with the descriptive titles of Adjunct, Clinical, Research, and Teaching.

A non-tenure-earning full-time faculty member may seek a temporary (short-term) reduction in work-load and request a change in status from full-time to regular part-time (at least half-time) as detailed in Section 4.5.5. This policy is intended to encourage departments to accommodate reasonable requests for part-time appointments; however, part-time appointments are at the discretion of the department chair and dean and are not an entitlement; and requests may be denied when the faculty member and department cannot agree to a workable plan. Interested faculty must present a request in writing to the appropriate chair and dean of their unit. Final approval must be granted by the dean. Faculty will receive proportional pay. Faculty members are responsible for meeting with representatives in Human Resources, so they will clearly understand the consequences of the change to their benefits. Office and laboratory space may be adjusted for part-time appointments.

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<sup>\*</sup> Note: [Full-time, regular UAB faculty](#) are not generally permitted to hold a regular appointment at another academic institution or research institute. The UAB Enterprise Conflict of Interest and Conflict of Commitment Policy enumerates limited exceptions.

## **2.5.6 Graduate Faculty Appointments**

Appointment to the faculty of the Graduate School is required for participation in Graduate School activities. Such appointments are supplementary to faculty appointments in an established school. No faculty appointments in the Graduate School are primary faculty appointments. If appointment to the graduate faculty is anticipated for a faculty member, the letter of nomination should originate in a graduate program. The Graduate School should be consulted in advance, and approval of the planned appointment should be obtained. Continuation of appointment to the graduate faculty shall be based on a periodic evaluation of the appointees' participation in graduate training activities. Responsibility for evaluation rests with graduate program directors and chairs of departments with graduate programs.

## **2.5.7 Temporary Faculty Appointment and Reappointment**

A full-time temporary faculty appointment is primarily used for short term (one year or less) appointments when a unit needs to hire a faculty member and there is not sufficient time to conduct a search. A faculty member appointed as a full-time temporary employee can be reappointed for a second year with approval of the chair, dean and provost.

At the end of the two-year period of time or before, any faculty member who is employed in a temporary position must be either appointed as regular faculty through a competitive search process or terminated. If a temporary faculty member has been in the position for less than one year, then a three month notice of termination must be given if the position is to be terminated. Such appointment must follow guidelines described in this Handbook.

## **2.6 Faculty Ranks**

UAB uses the following designations of rank for its faculty. The general criteria for appointment or promotion to each rank are described in this section. Note that the faculty ranks listed herein may be used for tenure-earning or tenured faculty as described below. For non-tenure-earning faculty, each faculty rank may be used with or without such descriptive terms as Clinical, Research, Teaching, Adjunct, Visiting, or Affiliate (Section [2.5.5](#)). Contingent faculty, who seek a full-time regular or part-time regular appointment as described in Section [2.5](#), are not guaranteed status at the same rank.

### **2.6.1 Instructor**

Appointment as Instructor is non-tenure-earning and usually requires training beyond the baccalaureate degree. In some special cases, demonstrated technical proficiency or professional experience may serve in lieu of formal training or an academic terminal degree.

### **2.6.2 Assistant Professor**

Appointment as an Assistant Professor usually requires a terminal degree and potential to make significant academic contributions. Appointments to this rank may be tenure-earning or non-tenure-earning.

### **2.6.3 Associate Professor**

Associate Professor is a rank that usually requires a terminal degree and service as an Assistant Professor for at least three years at UAB or equivalent service elsewhere, unless a longer duration is specified by an academic unit. Associate Professors may be tenured, tenure-earning, or non-tenure-earning. The individual holding this rank should have demonstrated the ability to make significant contributions in academic duties. Such

contributions should be of high quality and should be nationally recognized. Further, the individual should show promise of continued professional growth.

#### **2.6.4 Professor**

Professor is the highest academic rank granted at UAB except for a limited number of university professors, distinguished professors, or endowed professorships. Individuals holding this rank may be tenured, tenure-earning, or non-tenure-earning. The rank of Professor requires the demonstration of nationally recognized excellence in the conduct of academic duties. The rank of Professor usually requires academic service as an Associate Professor for at least three years at UAB or equivalent service elsewhere, unless a longer duration is specified by an academic unit.

#### **2.7 Titles for Academic Librarians**

Distinct Academic Library faculty titles were eliminated in 2015, and this section is no longer applicable.

#### **2.8 Special Faculty Ranks and Appointments**

##### **2.8.1 Distinguished Professor**

[Board Rule 508](#) (“Establishment of Academic Chairs, Professorships, and Endowed Lectureships and the Designation of Holders of Academic Chairs and Professorships”) specifies that the rank of Distinguished Professor is a campus-wide appointment, recognizes international accomplishments, is to be limited in number, and is to be recommended to the Board by the appropriate President and the Chancellor in order to confer richly deserved prestige and honor on those selected to receive this designation. Variations in this title include Distinguished Service Professor. The following criteria will be used in determining the selection of a Distinguished Professor:

- 1) Accomplishments bringing great credit to UAB.
- 2) Noteworthy academic service to UAB as a teacher and/or research scientist and/or clinician.
- 3) International recognition for scholarly contribution to the individual’s chosen profession.
- 4) Outstanding performance of service associated with the individual’s chosen professional or academic discipline.
- 5) Numerous achievements and extensive peer recognition in the individual’s chosen professional or academic discipline.
- 6) Unstinting dedication to standards of excellence in all endeavors.
- 7) Exemplary character and integrity reflecting great honor upon UAB.

Procedures for Appointing Individuals to the Rank of Distinguished Professor:

- 1) The appropriate dean, after consultation with the appropriate departmental chairpersons, will recommend the appointment to the Provost.
- 2) The Provost shall seek the advice of a committee of five members, appointed by the Provost, consisting of four senior faculty not holding administrative appointments, two of whom are from the department of primary appointment of the candidate, and an individual currently holding the rank of Distinguished Professor, if available, who will serve as chair. Affirmative approval of at least three committee members is required for the Provost to recommend the candidate to the President.
- 3) If the Provost’s decision is favorable, the Provost shall then recommend the appointment to the President.

- 4) If the President's decision is favorable, the President shall then recommend the appointment to the Chancellor. Upon approval from the Chancellor the recommendation will be submitted to the Board of Trustees.
- 5) The preceding steps apply to the appointment of individuals who are already members of the UAB faculty. In the case of someone to be brought in from the outside at this rank, the usual procedures for recruitment and appointment to the rank of Professor will be followed, after which the procedure described in Steps 1) through 4) will be followed.

Notes:

- 1) It is vital that this procedure be conducted in such a way that, when the decision is made not to appoint someone to this rank, there is no awkward sense of being turned down. Being appointed Distinguished Professor should continue to be regarded as a signal honor and not merely a next step above the rank of Professor.
- 2) Where appropriate, individuals with the rank of Distinguished Professor should be provided special financial support for their research and professional activities.
- 3) A University Professor is a professor who is primarily prestigious in a specific discipline and is an academic rank that transcends departmental and disciplinary lines. A Distinguished Professor is a prestigious appointment that recognizes international accomplishments.
- 4) Individuals holding this rank should be allowed the greatest latitude in apportioning their time between teaching, writing, and scholarly research.

### **2.8.2 Distinguished Service Professor**

Criteria and procedure for Distinguished Service Professor are the same as those for Distinguished Professor.

### **2.8.3 University Professor**

[Board Rule 508](#) ("Establishment of Academic Chairs, Professorships, and Endowed Lectureships and the Designation of Holders of Academic Chairs and Professorships") specifies that the rank of University Professor is a campus-wide appointment primarily prestigious in a specific discipline; is to be recommended to the Board of Trustees by the appropriate President and the Chancellor; is to bestow on an individual an academic rank which transcends departmental and disciplinary lines; is to allow each designated individual the greatest latitude in teaching, writing, and scholarly research, and is to give such an individual with broad expertise a UAB-wide platform. The following criteria will be used in the selection of an individual to be designated University Professor:

- 1) Scholarly achievement and intellectual maturity.
- 2) Dedication to the highest standards of professional excellence.
- 3) Numerous achievements and extensive peer recognition in the individual's chosen professional field.
- 4) Academic competence to enable the individual to undertake cross-departmental, cross-disciplinary activities in research and teaching, and UAB and community service.

Procedures for Appointing Individuals to the Rank of University Professor:

- 1) Any member of the UAB community may nominate to the Provost an individual for appointment.
- 2) The Provost shall seek the advice of a committee of five members, appointed by the Provost, consisting of four senior faculty members not holding administrative appointments, representing

the breadth of academic programs, and an individual currently holding the rank of University Professor, if available, who will serve as chair. Affirmative approval of at least three committee members is required for the Provost to recommend the candidate to the President.

- 3) If the Provost's decision is favorable, the Provost shall then recommend the appointment to the President.
- 4) If the President's decision is favorable, the President shall then recommend the appointment to the Chancellor. Upon approval from the Chancellor the recommendation will be submitted to the Board of Trustees.
- 5) The preceding steps apply to the appointment of individuals who are already members of the UAB faculty. In the case of someone to be brought in from the outside at this rank, the usual procedures for recruitment and appointment to the rank of Professor will be followed, after which the procedure described in Steps 1) through 4) will be followed.

Notes:

- 1) It is vital that this procedure be conducted in such a way that, when the decision is made not to appoint someone to this rank, there is no awkward sense of being turned down. Being appointed University Professor should continue to be regarded as a signal honor and not merely a "next step" above the rank of Professor.
- 2) Where appropriate, individuals with the rank of University Professor should be provided special financial support for their research and professional activities.
- 3) The primary difference between Distinguished Professor and University Professor is that Distinguished Professor recognizes achievement in a single field; whereas, University Professor is the appropriate designation for individuals whose work is more interdisciplinary in nature.
- 4) Individuals holding this rank should be allowed the greatest latitude in apportioning their time between teaching, writing, and scholarly research.

## **2.8.4 Endowed Academic Chairs, Deans, Professorships, and Lectureships**

All [endowed academic chairs](#), [deans](#), [professorships](#), and [lectureships](#) are established by The Board of Trustees of The University of Alabama, and initial appointments to fill them likewise shall be made by The Board of Trustees of The University of Alabama only after recommendation of the President and the Chancellor. Such endowed positions are prestigious appointments not only to recognize the requirements of the endowments, gifts, or other funding sources but also to reflect honor on the individual so designated. Procedures for the selection, appointment, administration, and reappointment of endowed chairs, deans, professorships, and lectureships must align to this Handbook and [Board Rule 508](#).

These guidelines do not apply to Endowed Faculty Scholars and other endowments, which are administered through policies and procedures of [UAB Advancement](#) and [UAB Financial Affairs](#) and are often more appropriate for faculty earlier in their careers.

### **2.8.4.1 Criteria of Endowed Positions**

Individuals considered for endowed positions should be full-time regular faculty at rank of Associate Professor or higher, who demonstrate high standards of academic excellence, scholarly achievement, or exemplary service. Holders of these positions are expected to have sustained contribution of excellence that could include significant contributions to teaching or research, facilitating high-quality recruitment, and reflecting a high degree of professionalism and collegiality.

### 2.8.4.2 Appointment of Endowed Positions

Appointment of a faculty member to an endowed position requires The Board of Trustees of The University of Alabama approval as described in [Board Rule 508](#). Academic units may determine the selection committee procedures of filling an established or new endowed position with consideration of any donor stipulations and limitations associated with the endowment. Endowed positions may be filled from the ranks of the university professoriate or may be combined with a search for an external hire (Section [2.12](#)).

If the endowed position selection is considered for currently appointed faculty, the search should include direct input from faculty members in the relevant academic division, department, or unit including through use of selection committees (which may be ad hoc appointments made by a dean as necessary) composed of faculty members, the majority of whom are from the relevant division, department, or unit in so much as possible consistent with Section [2.11.2](#). If the endowment appointment selection is simultaneous with a search for a new faculty appointment, the faculty search committee ([2.12](#)) may be augmented to satisfy selection committee requirements described above. Donors may serve on an advisory committee but may not participate in the selection or evaluation of candidates to hold the endowed position.

Selection procedures by the academic unit shall include the required letters of recommendation or support as defined in the [submission package](#). The dean will forward the package with the dean's recommendation and fully executed [Board Agenda Item Recommendation Form](#) to the Board Liaison in the Office of the President, who will secure approval by the Provost and President. Once all approvals have been secured, the board submission package will be transmitted to the System Office. The endowed position must be approved by The Board of Trustees of The University of Alabama prior to being announced. If the endowed position selection is simultaneous with a faculty search, the announcement of the faculty search may not precede, but can be simultaneous with, the announcement of the endowed position by the Board of Trustees. The initial faculty appointment to an endowed position may be finalized only after approval by The Board of Trustees of The University of Alabama.

The letter of appointment to the endowed position should include the duration, reporting pathway for annual performance review ([2.8.4.4](#)), and expectations associated with the endowed position. The letter of appointment to an endowed position should additionally specify allowable expenses for the endowment including, but not limited to, payment of salary support for the holder and/or support for graduate students, research expenses, or other staff supporting the intent of the endowment. In most cases, there will not be support for other faculty. Unless otherwise specified by the endowment, the appointment period shall be five years.

### 2.8.4.3 Early Termination of Endowed Positions

An endowed position may be removed from a current holder at the discretion of the Dean if the holder

- receives notice of non-reappointment or termination of their faculty position;
- retires;
- no longer maintains full-time status, holds an administrative appointment tied to the endowment, works in a field relevant to the endowed position, or otherwise does not meet the conditions of the endowed position;
- has a conflict of interest that cannot be managed through normal COI management practices; or
- is no longer a faculty member in good standing ([3.6](#)).



Upon retirement, the endowed position typically is considered for a new appointment, but in rare cases, if allowed by the endowment criteria and if the holder is granted “Emeritus” status ([2.8.5](#)), the emeritus faculty may continue in the endowed position.

#### **2.8.4.4 Reappointment and Non-reappointment of Endowed Positions**

The holder of the endowed position must report at least annually as part of the faculty performance review (Section [2.14](#)) on activities associated with the endowed position unless the endowment specifies more frequent or specific reporting. In the final year of the appointment, the holder of the position may be considered for reappointment according to the procedures of the academic unit. For decisions of reappointment, deans should consider the results of the holder’s periodic stewardship reports described above the holder’s annual performance reviews, and the results of an end-of-term review conducted by the holder’s chair or other supervisor in which the performance of the holder is assessed over the entire term of the position. The results assessed should include the holder’s productivity over time and whether the specific performance expectations in the appointment letter have been met. Reappointment of an endowed position does not require approval by The Board of Trustees of The University of Alabama.

For decisions of non-reappointment, the Dean must consult the Provost and notify the Vice-President for Advancement. The position holder may be offered up to one year to address performance expectations, after which the Dean, upon consultation of the Provost, makes final determination of non-reappointment and initiation of a new selection. Non-reappointment of an endowed position is separate from non-reappointment of a faculty appointment, which is governed by Section [2.13](#) for non-tenured faculty and is separate from termination of appointment, which is governed by Section [2.18](#) for tenured faculty.

#### **2.8.4.5 Disestablishment of Endowed Positions**

If the endowed position subject area ceases to be aligned with the university goals or the position remains vacant for three or more years and remains unlikely to be filled, the President, upon consultation with the Provost, Advancement, and the Dean, and subject to approval by the Board of Trustees, may disestablish the endowed position.

### **2.8.5 Emeritus Faculty**

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

An [emeritus appointment](#) to a faculty rank may become effective only after the faculty member retires, as defined in Section 2.21. An academic administrative emeritus appointment, such as Dean Emeritus, may be conferred with a record of continuous exceptional performance as an administrator at such time that the faculty member resigns from that academic administrative appointment, even though the faculty member may continue to hold a full-time faculty position at UAB until the time of retirement.

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



Following approval by the President, current practice is for emeritus status to be approved by the Chancellor and the Board of Trustees as an administrative action item at a regularly scheduled meeting of the Board.

Certain privileges are inherent in emeritus faculty status such as access to the Campus Recreation Center and UAB Libraries which include borrowing privileges. A parking permit (annually renewable) may be obtained with documentation of emeritus status to UAB Transportation Services. Emeritus faculty without a volunteer or contingent appointment may be eligible for a Visitor One Card to provide common access to academic buildings during regular business hours. Emeritus faculty with a simultaneous volunteer or contingent faculty appointment are eligible for a UAB One Card to provide building access, reduced rates at campus dining facilities, an active email account, and access to campus network services including library databases. Any fees and charges for use of these facilities shall be charged to the emeritus faculty member. At the discretion of the appropriate dean and/or department chair, emeritus faculty may continue academic contributions including teaching and scholarly activities including service on university committees, graduate committees, as well as assignment of laboratory or office space. Emeritus faculty may serve as principal investigators on externally funded (sponsored) grants or contracts administered by UAB when they meet the UAB [Definition of a Principal Investigator](#) and the funding agency's eligibility requirements.

Re-employment of retired faculty members is allowed within the limits set by the UAB [Policy Concerning the Re-employment of UAB Retirees](#).

## **2.9 Faculty Credentials**

UAB employs competent faculty members qualified to accomplish its missions and goals. When determining acceptable qualifications of its faculty, UAB gives primary consideration to the highest earned degree in the discipline in accord with Credential Guidelines published by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). UAB also considers competence, effectiveness, and capacity including, as appropriate, undergraduate and graduate degrees, related work experience in the field, professional licensure and certification, honors and awards, continuous documented excellence in teaching, or other demonstrated competencies or achievements that contribute to effective teaching and student learning outcomes.

The current Credential Guidelines published by the Southern Association of Colleges and Schools Commission on Colleges include the following:

- Faculty teaching at the undergraduate level: a doctoral or master's degree in the teaching discipline or a master's degree with a concentration in the teaching discipline (minimum of 18 graduate semester hours in the teaching discipline). This requirement applies to both general education courses and major courses within a baccalaureate curriculum.
- Faculty teaching graduate and post-baccalaureate course work: earned doctorate/terminal degree in the teaching discipline or a related discipline.
- Graduate teaching assistants (these are not faculty but are included here for information purposes): master's in the teaching discipline or 18 graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations.

This section is taken largely from SACSCOC "Principles of Accreditation," Comprehensive Standards. See [SACSCOC website](#) for the latest Credential Guidelines.

UAB defines an "instructor of record" as an individual designated by the academic unit as responsible for a course, including development of the design, delivery, assignments, or assessments. Faculty guest lecturers, who contribute to a course based on their specialized expertise, are excluded as instructors of record. Graduate or

undergraduate students who are assigned to a course in a support capacity, i.e., grader, proctor, lecturer, recitation assistant, classroom assistant, lab assistant, are not considered instructors of record.

## **2.10 Specific Criteria for Appointment, Promotion, and Award of Tenure**

The university policies and the departmental, school, college, and/or UAB Libraries policies shall be used in evaluating faculty members for appointment, promotion, and award of tenure. However, the departmental, school, college, and/or UAB Libraries policies may not be less stringent than, or be inconsistent with, the UAB-wide policies contained herein.

Faculty appointment, promotion, and award of tenure are based on a faculty member's training, experience, and activities, as well as the potential for continued growth, in the areas of (1) teaching; (2) scholarly activities, including research and other creative activities; and (3) service. In the case of non-tenure-earning faculty, the requirement for demonstrated proficiency in one, two, or all three areas, as specified in the policies of the department, school, college, or UAB Libraries, shall apply to appointment and promotion. Promotion criteria for non-tenure-earning faculty must differ from those of tenure-earning faculty so as to be based on the assigned proportional effort in teaching, scholarly activities, and service. Candidates shall prepare appointment, promotion, and tenure award support material as prescribed by the Provost, their school/college and their department.

An individual will be judged by the criteria outlined in this Handbook in proportion to their relative importance to each academic rank, to the type of appointment held by the faculty member, and to the program priorities of the appointing unit. Each faculty member shall be evaluated in these areas by colleagues at UAB, and by a minimum of three reviewers outside of the institution qualified to review the faculty member's qualifications. A school or college handbook may specify that fewer external reviewers are required, but only for promotion from instructor to assistant professor. In the area of teaching, student evaluation also should be solicited.

See [Appendix E](#) for best practices regarding promotion and award of tenure.

### **2.10.1 Effectiveness as a Teacher**

Effectiveness as a teacher can be demonstrated by a review of the following considerations: the individual's knowledge of a subject field, including current developments in that field, and the ability to develop effective curriculum materials, to organize and effectively present course work, to motivate student interest and participation, and to contribute significantly to the academic progress of students.

### **2.10.2 Effectiveness in Scholarly Activities**

Although scholarly work takes many forms, including design, basic and applied research, and other creative activities, a faculty member's effectiveness can be demonstrated by such achievements as (but not limited to) publications, fine arts creations, personal presentations of formal papers, artistic performances, creation and disclosure of intellectual property, innovation, entrepreneurship, and the like. The quality of the individual's scholarly approach, capacity for independent thought, originality, and products of scholarship must be addressed.

### **2.10.3 Effectiveness in Service Activities**

Service functions can be those performed for UAB, the Birmingham community, the state of Alabama, and regional, national, or international groups. Service may include such activities as (1) participation in committee work, (2) fulfillment of administrative assignments, (3) contributions to the improvement of student

and faculty life, (4) faculty consultation within or outside UAB (5) professional service, and (6) support of UAB [Shared Values](#).

## **2.11 Procedures for Faculty Appointments, Reappointments, Promotions, and Awards of Tenure**

Each school, college, and UAB Libraries shall have, and departments may have, written statements of policies that set forth criteria and procedures for new appointments, reappointments, promotions, awards of tenure, leaves, and other matters related to faculty affairs within a faculty handbook. The *UAB Faculty Handbook and Policies* supersedes unit and department faculty handbooks if in conflict, and unit and department handbooks cannot be less stringent or inconsistent with the Faculty Handbook. Approval of revisions to a unit or department handbook shall follow a process of shared consent of both the faculty and the administration, as in effect from time to time.

Before written school, college, or UAB Libraries policies are put into effect, they should be reviewed by the school, college, or UAB Libraries faculty affairs committee and approved by the dean. Final approval is granted by the Provost. In absence of such school, college, or UAB Libraries policies, the appropriate dean, with the approval of the Provost and President, may establish relevant school, college, or UAB Libraries policies, on an interim basis, which are consistent with this *Faculty Handbook*. Before department policies are put into effect, they should be reviewed by the school faculty affairs committee and approved by the department chair/library dean. Final approval of department policies is granted by the dean. Approved (signature and date documentation) policies and policy changes as defined by the school, college, UAB Libraries, or department handbooks, should be made available to a faculty member throughout their appointment.

Faculty appointments and changes in faculty status require approval of the appropriate dean and Provost and are not effective until approved by the Provost.

### **2.11.1 School, College, or UAB Libraries Committees**

The policies of each school, college, or UAB Libraries shall provide for a group of faculty to (1) consider and make recommendations to the dean concerning faculty personnel actions related to tenure and promotion and (2) present general advice and recommendations concerning faculty matters to the dean. Among other duties, the committee(s), in consultation with the dean, shall be charged with the responsibility of ensuring adequate faculty personnel procedures in the school, college, or UAB Libraries.

The committee shall be comprised of faculty members elected by the faculty and appointed by the dean. However, no more than one-half of the membership shall be appointed. Administrators (Deans, Chairs, or Division Directors) must recuse themselves from Committee discussion or votes of any individual they supervise. While tenured, tenure-earning, and non-tenure-earning faculty may serve on the committee, only tenured faculty, regardless of rank, may vote on initial appointments with tenure and awards of tenure. Only faculty members at or above the rank to which the individual under consideration is to be appointed or promoted may vote on initial appointment or promotion.

### **2.11.2 Departmental Policies and Committees**

(Note, that since the UAB Libraries do not have departments, the Dean of the UAB Libraries shall act in the place of a chair for all library-related faculty policy and employment decisions normally carried out by a UAB departmental chair.)

If departments desire that the policies and procedures for appointment, reappointment, promotion, and tenure be more specific than those of their respective schools or reflect a unique departmental mission, such

policies and procedures shall be contained in departmental written policy. Departmental faculty policies and procedures shall be developed by the department chair and departmental faculty, in consultation with the dean, and must be approved by the departmental faculty, department chair, the school faculty affairs committee and the dean. Departmental policies shall not be less stringent than, or be inconsistent with, UAB or school policies.

Unless specifically stated otherwise in a school's policies, each department within that school shall have a committee (which may include at least three faculty members or up to all faculty in a department who are eligible to vote on tenure and/or promotion decisions) to consider and make recommendations to the chair concerning faculty personnel actions whenever departmental review is required. This committee shall be comprised of faculty members chosen by the faculty.

If a department has less than three eligible committee members, the chair, upon consultation with the eligible department faculty, shall appoint additional eligible faculty member(s) to complete the minimum committee membership of three from either departmental emeritus faculty or outside of the department preferably from a closely related discipline. In the event no faculty are eligible to serve on a departmental committee, then the department chair will form an ad hoc "departmental" committee of eligible faculty members from closely related disciplines to review and make recommendation of the academic merit to the school-wide committee.

All departmental promotion and tenure review committees shall allow only faculty at or above the rank to which the individual under consideration is to be appointed or promoted to vote on such actions. Only tenured faculty may vote on appointments that involve tenure. Administrators (Deans, Chairs, or Division Directors) must recuse themselves from Committee discussion or votes of any individual they supervise.

## **2.12 Initial Appointments of Faculty**

For all full-time regular tenured or full-time regular tenure-earning positions, recruitment at the national level is required. For all full-time regular or part-time regular non-tenure-earning positions, recruitment at the national level is required unless in rare and extenuating circumstances a waiver is justified and approved by the dean and Provost as described in the [UAB Faculty Search Waiver Guidelines](#). Contingent, temporary, visiting, or volunteer appointments do not require a search.

The process to make a new appointment is initiated by the department chair upon completion of recruitment and selection in accordance with all approved department, school, college, UAB Libraries, and [UAB policies and procedures](#). Upon recommendation of the department chair and approval by the appropriate dean and the Provost, an offer of appointment may be made by the chair. An offer should minimally include applicable initial compensation, duration of appointment, and terms of potential changes to compensation. Faculty can be hired only at the ranks and tenure status (or lower) that is described in the advertised position description. This offer shall be contingent on final approval by the President.

All appointments must be made in accordance with UAB hiring practices and government regulations and, following acceptance by the candidate of the initial offer of appointment must be approved by the President.

All appointments must be made in compliance with "Faculty Credentials," the procedures for documenting and verifying credentials must be followed, and the documentation must be included in the prospective faculty member's recruitment file. In part because the credential guidelines are based on earned degrees, before an appointment may be finalized an official transcript of the course work completed for the terminal degree(s) is required. All offers of appointment must include a request for the transcript. After the faculty member has accepted appointment to UAB, the documentation verifying credentials must be retained and maintained as part of the faculty member's official, permanent UAB personnel file.

In the case of tenure-earning appointments, the date which defines the start, and therefore the completion, of the tenure-earning period shall be determined by the date of appointment if it is October 1. If the appointment date comes after October 1, the October 1 which next follows the initial appointment date to a tenure-earning position shall determine the start of the tenure-earning period.

University-level onboarding resources and training for new faculty hires to UAB may be found at the [New Faculty](#) page of the [UAB Faculty website](#). Consultation with UAB Benefits is encouraged to optimize retirement, insurance, and other options. Unit-level onboarding should be provided through department and/or division.

### **2.12.1 Appointments with Tenure**

The school, college, UAB Libraries, and, if applicable, department tenure and promotion committees shall review an offer of initial appointment with tenure prior to approval of such an offer by the dean, the Provost, and the President.

### **2.12.2 Appointments as Instructor**

Unless otherwise specified in writing, initial appointments at the rank of Instructor at UAB shall be for one year and may be renewed annually. The appointment is non-tenure-earning.

### **2.12.3 Appointments as Assistant Professor or Associate Professor**

Initial tenure-earning appointments at the ranks of Assistant Professor or Associate Professor at UAB shall be for two years unless a different period between one to five years is designated in the letter of offer. Tenure-earning appointments may be renewed annually for one year thereafter until the probationary period expires (Section [2.15.4](#)) or tenure is awarded.

Non-tenure-earning faculty appointed to these ranks may be appointed or reappointed for periods of one to five years.

All appointments below the rank of Associate Professor shall be without tenure. Initial appointment at the rank of Associate Professor or above may be offered with or without tenure.

### **2.12.4 Appointments as Professor**

Appointments to the faculty at the rank of Professor may be tenured, tenure-earning or non-tenure-earning. Tenure-earning appointments to this rank are made two years unless a different period between one to five years is designated in the letter of offer and may be renewed annually until tenure is awarded or the tenure-earning (probationary) period expires (Section [2.15.4](#)). Non-tenure-earning faculty may be appointed to this rank for periods of one to five years.

## **2.13 Reappointment and Non-reappointment of Non-tenured Faculty**

### **2.13.1 Review for Reappointment and Non-reappointment of Non-tenure-earning Faculty**

Non-tenure-earning faculty shall be reviewed for reappointment by the department chair on a schedule that allows adequate notice regarding reappointment or, should a decision not to reappoint be made, notice shall be in accordance with the schedule defined in this Handbook.

### 2.13.2 Review for Reappointment and Non-reappointment of Tenure-earning Faculty

Tenure-earning faculty shall be reviewed for reappointment by the department chair, or in accordance with other departmental, school, college, or UAB Libraries procedures, on a schedule which allows adequate notice regarding reappointment or, should a decision not to reappoint be made, notice shall be in accordance with the schedule in this Handbook or in accordance with other departmental, school, college, or UAB Libraries procedures. Review for reappointment may be addition to, or in conjunction with, the annual evaluation by the chair as prescribed in Section [2.14](#) and is separate from pre-tenure committee review of progress toward tenure as prescribed in Section [2.15.7](#).

Faculty have access to a variety of resources to prepare for discussions in connection with non-appointment, including the [UAB Ombuds](#), counseling provided through the employee relations unit of Human Resources, and other faculty development resources available on the Office of the Provost [website](#).

### 2.13.3 Notice of Non-reappointment

When a decision against reappointment is made, the faculty member shall be informed of the decision and the reasons for non-reappointment, in writing, by the department chair (Note, that since the UAB Libraries do not have departments, the Dean of the UAB Libraries shall act in the place of a chair for all library-related faculty policy and employment decisions normally carried out by a UAB departmental chair), in accordance with the following standards:

- 1) During the first full year of service, a non-tenure-earning faculty member must receive a minimum of three months' notice of non-reappointment. As used herein, a full year of service is equal to nine months for faculty on nine-month appointments and twelve months for faculty on 12-month appointments. Tenure-earning faculty appointed for an initial period of less than two years must receive a minimum of twelve months' notice of non-reappointment.
- 2) After one or more full years of service to UAB, a faculty member must receive twelve months' notice that their appointment will not be renewed. The date upon which the initial notice is given of non-reappointment shall commence the running of the 12-month terminal appointment. For tenure-earning faculty who have been denied tenure, the date of the notification of the tenure denial shall commence the running of the 12-month terminal appointment ([2.15.8.3](#)).

The following American Association of University Professors (AAUP) statement, while not being UAB policy, may be pertinent and may provide guidance in many instances:

*“At many institutions, moreover, the procedures of evaluation and decision may make it difficult, if not impossible, to compile a statement of reasons which precisely reflect the basis of the decision. When a number of faculty members participate in the decision, they may oppose a reappointment for a variety of reasons, few or none of which may represent a majority view. To include every reason, no matter how few have held it, in a written statement to the faculty member may misrepresent the general view and damage unnecessarily both the morale and the professional future of the faculty member.*

*In many situations, of course, a decision not to reappoint will not reflect adversely upon the faculty member. An institution may, for example, find it necessary for financial or other reasons to restrict its offerings in a given department. The acquisition of tenure may depend not only upon satisfactory performance but also upon a long-term opening. Non-renewal in these cases does not suggest a serious adverse judgment. In these situations, providing a statement of reasons, either*



*written or oral, should pose no difficulty, and such a statement may in fact assist the faculty member in searching for a new position.”*

(This statement was extracted from the [AAUP Statement on Procedural Standards in the Renewal or Non-renewal of Faculty Appointments](#), a revision of a statement originally adopted in 1971, which was approved by Committee A on Academic Freedom and Tenure, adopted by the Council as Association policy in November 1989, and endorsed by representatives in attendance at the Seventy-Sixth Annual Meeting.)

#### **2.13.4 Non-reappointment Because of Changes in Program Priorities**

Although an individual faculty member may meet the criteria for reappointment, a decision to deny reappointment may be based on considerations of curriculum, enrollment, finances, or other program factors not prevalent or predictable at the time of the original appointment. It shall be the responsibility of the department chair to ensure the earliest possible notification of faculty who will be affected by such changes, but in no case, shall such notice be less than that specified in this Handbook.

#### **2.13.5 Termination of a Non-Tenured Faculty Member for Cause**

In addition to termination of a non-tenured faculty member (tenure-earning or non-tenure-earning) through non-reappointment as provided in the foregoing Sections [2.13.1 - 2.13.4](#), a non-tenured faculty member may also be terminated for cause prior to the end of any notice period or appointment term. Cause for termination must directly and substantially affect the fitness of the faculty member to function in the role of teacher, researcher, and colleague in an academic community, or be related to a serious failure of a faculty member to discharge their obligations to UAB. Examples include, but are not limited to, serious professional or personal misconduct, serious failure to perform academic duties in accordance with generally accepted norms, conviction of a serious crime and serious violations of a UAB policy.

In those instances, in which a department chair or the appropriate dean believes a faculty member's behavior merits termination for cause, they shall refer charges to the Provost. Normally such cases should be dealt with through documented progressive discipline at the chair or dean level. However, if, after initial consideration, the Provost believes that the charges, if proven, could merit termination, the faculty member shall be informed in writing of the charges and will be advised of a right to a hearing prior to a decision on dismissal, as detailed in [Appendix B](#). Such a hearing shall be conducted in accordance with written procedures set forth in [Appendix B](#) of this Handbook.

A faculty member shall not be suspended prior to the final decision by the President concerning the termination for cause, unless the Provost determines that continuance of employment poses an imminent risk to the faculty member, others, or UAB. Suspension can be effected only by the President, and salary shall continue during a suspension. Only the President of UAB can make a final decision to terminate a UAB faculty member for cause.

Faculty have access to a variety of resources to prepare for discussions in connection with termination, including the [UAB Ombuds](#), counseling provided through the employee relations unit of Human Resources, and other faculty development resources available on the Office of the Provost [website](#).

## 2.14 Annual Faculty Evaluations

### 2.14.1 Process of Annual Evaluations

The purpose of faculty evaluations is to serve as a mechanism to measure and enhance faculty members' professional development and productivity, to assist faculty members in achieving their professional goals and the goals of the academic unit and university. The department chair, or designee with supervisory authority (e.g., division director), is responsible for an annual, written evaluation of all [full-time regular](#) and [part-time regular](#) faculty (non-tenure-earning, tenure-earning and tenured) and to provide feedback concerning past and future faculty performance. If the reviewer has been conflicted by the institution, see Section [2.22](#). The primary assessment of the faculty member's performance shall be conducted in a professional manner that both upholds the highest ethical standards of the educational process and respects the integrity of the faculty member, the department, and the discipline.

Annual evaluations should help promote the productivity of faculty by articulating any actions that will enhance professional contributions, by recognizing relevant talents, abilities and contributions, and by identifying any areas falling below expectations that should be addressed during the next evaluation period. The annual faculty evaluation process should be designed to establish a link between the evaluation and considerations for merit increases, tenure, and promotion. University and academic administrators shall value and reward teaching, scholarship, and service contributions, consistent with each academic rank, type of appointment, and program priorities. In the case of faculty members who have not achieved tenure or promotion to associate professor or professor, the department head should take particular care to relate the faculty member's job performance to the promotion and tenure criteria established in this Handbook "Faculty Appointments, Promotions, Tenure, Resignation, Termination and Grievance." Further, the process is based upon the following guiding principles:

- The department chair, or designee with supervisory authority (e.g., division director), has ultimate responsibility for the faculty evaluation process.
- Criteria for annual evaluations, which are determined within the academic unit and/or department, should be aligned with criteria for promotion and tenure, UAB Standards of Behavior (Section [3.6](#)), and UAB [Shared Values](#). See [Appendix D](#).
- Annual evaluations and responses to the evaluation must be in writing.
- Verbal feedback is also recommended as an important part of the process.
- Faculty members and the department chair should annually establish and monitor goals which should be assessed as a part of the annual evaluation.
- Reviews should be completed annually in a timely manner.

In addition to the above, the department chair, or designee, is responsible for an annual, written assessment of all [contingent](#) and [temporary](#) faculty (full-time, part-time, adjunct, voluntary, or emeritus) with active contribution exceeding 0.05 FTE (e.g., one day each month throughout a year), whether or not they are instructors of record (Section [2.9](#)). The assessment should reflect the contingent and temporary faculty member's contribution to the institutional mission, be commensurate with their effort, and is typically less comprehensive than regular faculty annual evaluation.

Faculty have access to a variety of resources to prepare for discussions in connection with annual evaluation, including the [UAB Ombuds](#), counseling provided through the employee relations unit of Human Resources, and other faculty development resources available on the Office of the Provost [website](#).



### **2.14.2 Faculty Member Rights**

Faculty member rights in the annual evaluation process shall include the following guidelines:

- A copy of the written evaluation is provided to the faculty member, and a copy placed in the faculty member's department activity file.
- Every faculty member has access to their department activity file except for confidential letters of recommendation.
- The faculty member has the right to read and discuss the evaluation and the right to provide written feedback in response to the evaluation. The faculty member's written feedback will be placed in the faculty member's department activity file.

### **2.14.3 Appeals of Annual Faculty Evaluation**

A faculty member has the right to appeal an annual evaluation to the Chair and/or Dean. The unit shall have an established internal process for appeals of annual evaluations. This should be independent from the Appeals of reappointment, promotion, or tenure decisions (Section [2.17](#)) and Grievances (Section [2.19](#)).

## **2.15 Tenure**

Policies and procedures regarding tenure may be found in this [handbook](#), the Provost's [website](#), and school/departmental handbooks.

### **2.15.1 General Statement**

The awarding of tenure is a serious and significant step for both the faculty member and UAB. It is not awarded merely on the basis of time in service. Tenure is awarded to individual faculty members upon evidence of the capacity and likelihood for continued intellectual, scholarly, and professional vitality; upon evidence of the ability and willingness to perform assigned duties; and upon evidence of a sense of responsibility and dedication to make the continuing exemplary performance of duties a reasonable expectation. Protected from arbitrary dismissal and from transient political and ideological currents, the individual faculty member assumes a responsibility to make a continuing effort to achieve the expectations upon which the award of tenure was based.

Note that relative to the following language in The Board of Trustees of The University of Alabama [Board Rule 301](#), at UAB tenure is held within a school/college/library or department (divisions of the institution), but not within divisions of departments, see Sections [2.5.1](#) and [2.18](#).

The definition of tenure used in each institutional policy should recognize that tenure is an affirmative commitment by the Board of Trustees to a faculty member, generally offered after a probationary period of employment, of a right to continuing employment except upon dismissal for cause, retirement, resignation, bona fide financial exigency of the institution or division in which tenure is held, or major curtailment or formal discontinuance of a program or department of instruction.

Absent of cause for termination as defined in this handbook, tenure at UAB is a grant of continuing appointment at least at the same faculty rank. Promotion of a tenured faculty member indicates continuation of tenure at the new rank. The services of a faculty member with tenure shall be terminated only for cause or in cases of bona fide financial exigency, bona fide financial crisis, or academic program/unit closure at UAB. The requirement of showing of cause does not apply in cases of voluntary retirement or retirement due to disability.

As with any freedom, academic freedom, see Section [3.2](#), carries with it duties and responsibilities correlative with rights. By granting faculty a right of continuing employment, UAB meets its responsibilities to ensure that UAB faculty remain free to pursue truth and to propagate knowledge, through both teaching and scholarship, without undue or inappropriate interference from external forces. Tenure at UAB should be regarded as a most valuable possession, signifying a long-term commitment of resources by UAB, matched by the sincere commitment by the faculty member to continued professional growth and achievement.

### **2.15.2 Tenure Eligibility**

Tenure may be awarded to individuals appointed to the faculty as described in this Handbook. Eligibility for tenure consideration is limited to faculty appointments of 50 percent or greater. Tenure may not be awarded to non-tenure-earning faculty.

Administrative appointments do not carry tenure, but an administrator who holds a tenured academic appointment retains that tenured appointment, and an administrator who holds a tenure-earning appointment on the faculty may be awarded tenure in accordance with procedures and criteria of UAB and the appropriate department, school, college, or UAB Libraries.

### **2.15.3 Tenure by Faculty Rank**

Tenure may be conferred at any time but only upon appointees holding the ranks of Associate Professor or Professor, and only in accordance with policies stipulated for the awarding of tenure.

Tenure may be awarded to someone initially appointed at a rank below Associate Professor only after promotion to the rank of Associate Professor, or higher, and provided the original search which resulted in recruitment of the individual solicited candidates for a tenure-earning or tenured position.

Initial appointments to the tenure-earning faculty at the ranks of Assistant Professor or Associate Professor must be under the rules of earning tenure, as described in Sections [2.12.3](#) and [2.12.4](#).

Appointments or promotions to the faculty at the rank of Professor usually carry tenure unless specific exception is written into the letter of appointment.

### **2.15.4 Length of Tenure-earning Period**

Any faculty member appointed to a tenure-earning faculty position shall have a maximum tenure-earning (probationary) period ([2.15.4.3](#)) of seven years to earn tenure except in a school, college, or UAB Libraries in which the maximum tenure-earning period has been extended, as detailed below ([2.15.4.2](#)). This period provides years to earn academic merit (years 1 through 5 of a 7-year period) during which early application for tenure may be possible if allowed by the academic unit, and a final submission year (year 6 of a 7-year period) when the tenure application must be submitted for mandatory review. If tenure has not been awarded by the end of the final submission year, the appointment for the final year shall be a terminal appointment for one calendar year from the notification of the denial of tenure. A limited reconsideration of a denied tenure application may occur during the terminal year, as provided in Section [2.15.9](#).

Applications for tenure are to be submitted during the annual cycle for tenure submission in accordance with the procedures specific to the academic unit. Failure to submit an application for tenure by the unit's submission timeline in the final submission year without an approved extension ([2.15.5](#)) will result in a denial of tenure and commencement of the terminal year ([2.15.8.3](#)).

In unusual circumstances, an academic unit may allow for early application for tenure with permission; however, a denial of tenure results in commencement of the terminal year ([2.15.8.3](#), see also 2.15.6).

#### **2.15.4.1 Start and end date of all tenure-earning periods**

As noted in this Handbook, the date which defines the start, and therefore the completion, of the tenure-earning period shall be determined by the date of appointment if it is October 1. If the appointment date comes after October 1, the October 1 which next follows the initial date of appointment to a tenure-earning position shall determine the start of the tenure-earning period.

#### **2.15.4.2 Unit extension of tenure-earning (probationary) period**

A school, college, or UAB Libraries may establish a longer tenure-earning period for faculty appointed in that school, college, or UAB Libraries, but in no case shall such period exceed ten years. A change in the tenure-earning period for a school may be implemented only after discussion by the faculty; approval by a majority vote of the tenured and tenure-earning faculty; and approval by the dean, the Provost, and the President. The maximum length of the tenure-earning period shall be specified clearly in school, college, or UAB Libraries policies and in the faculty member's initial letter of appointment. The maximum tenure-earning period of an individual faculty member may not be reduced from that specified by UAB or school policy at the time of their initial faculty appointment at UAB. Emphasis must be placed on the award of tenure based on the merit of the applicant's achievements, and not years in pursuit of tenure.

#### **2.15.4.3 Maximum tenure-earning period for a full-time faculty member**

The maximum total period for full-time tenure-earning is seven years (or ten years in schools with a ten-year maximum period), unless an approved extension has been granted ([2.15.5](#)). The decision about tenure, if not made earlier, is made in the sixth year (or ninth year) of the probationary period appointment. If the tenure decision made in the sixth year (ninth year) is negative, a one-year terminal appointment will be offered for one calendar year from the notification for denial of tenure.

#### **2.15.4.4 Appointments less than full-time**

Tenure-earning faculty members may request a term, part-time appointment for reasons of balancing work and family or personal health issues. In such cases, the probationary period will be extended proportionately. For example, two years of service at 50% will count as one year of full-time service. The term appointment may be renewed. (An indefinite part-time appointment may only be requested and granted following award of tenure.)

In determining the mandatory year for tenure review for those with partial appointments in schools with a maximum seven year tenure period, general equivalency to full-time appointments is expected, so that approximately five years of full-time equivalent service is expected prior to the mandatory tenure-earning review year (In summing partial years of service, a total resulting in a fraction equal to or less than 0.5 would be rounded down, and a fraction greater than 0.5 would be rounded up.) However, review for tenure must occur no later than the tenth year of service, resulting in somewhat less full-time equivalent service (4.5 years) for a faculty with 50% appointment throughout all nine pre-tenure years prior to review. (This example assumes renewal of several term appointments.) If denied tenure following a mandatory review, a one-year terminal appointment will be given. The terminal appointment will be for one calendar year from the notification for denial of tenure. The percent effort will be agreed upon by the chair and faculty member.

In determining the mandatory tenure review, for those with partial appointments in schools with a maximum ten-year tenure-earning period, general equivalency to full-time appointments is expected, so that

approximately eight years of full-time equivalent service is expected prior to the mandatory tenure review year (In summing partial years of service, a total resulting in a fraction equal to or less than 0.5 would be rounded down, and a fraction greater than 0.5 would be rounded up.) However, review for tenure must occur no later than the sixteenth year of service, resulting in somewhat less full-time equivalent service (7.5 years) for a faculty with 50% appointment throughout all fifteen probationary years prior to review. If denied tenure following a mandatory review, a one-year terminal appointment will be given. The terminal appointment will be for one calendar year from the notification for denial of tenure. The percent effort will be agreed upon by the chair and faculty member.

Faculty members on part-time appointments may request a tenure clock extension, Section [2.15.5](#). (Extensions are granted in one-year increments, not prorated by the part-time appointment percentage.) However, the extension will not be approved if it results in a mandatory review date beyond the tenth year, or sixteenth year, respectively, in seven-year and ten-year maximum tenure-earning periods.

#### **2.15.4.5 Tenure-earning periods and leaves of absence**

A faculty member on probationary appointment who wishes to request a leave of absence shall consult with their department chair and dean about the effect of the leave on the duration of the tenure-earning period, taking into account the professional development that the leave promises. The request for leave should address this matter and the provost's approval of the leave request will specify whether the leave will be included in the probationary period or if an extension of tenure-earning period should be requested ([2.15.5](#)).

#### **2.15.5 Extension of tenure-earning period**

An extension of the tenure-earning period may be approved on a discretionary basis for extenuating non-professional circumstances that have had a significant impact on the faculty member's productivity such as, the arrival or care of a child, the care of a family member or member of the immediate household, or personal circumstances related to the health of the faculty member.

Faculty members who benefit from this policy are expected to fulfill their normal responsibilities during the tenure period extension, unless they have been also granted a period of modified duties, or unless other approved arrangements have been made.

Tenure period extensions are granted in one-year increments. A cumulative total of two years is normally the maximum probationary period extension for any combination of reasons. Requests should be made within a year of the qualifying event or extenuating circumstance and prior to the department deadline for submission of promotion/tenure application. Exceptions to these limitations may be approved by the provost.

Requests for a tenure period extension should be submitted in writing to the department chair. Documentation of childbirth/adoption and medical reasons will be required prior to the approval; documentation of other extenuating circumstance may also be required. Approval by the department chair, dean and provost are required for probationary period extensions. Under certain extenuating rare circumstances outside of the university's control (e.g., pandemic, natural disaster, etc.) which disrupt continuity of a tenure-earning period, the Provost, with presidential approval, may provide an option for a tenure period extension for an eligible group of faculty (which may be all faculty).

It is very important that all individuals and committees participating in tenure reviews understand that any individual who has received a tenure period extension must be held to the same standard, not a higher or more stringent one, to which other candidates without such an extension are held.

### 2.15.6 Changes in Tenure-earning Status

Individuals appointed to faculty positions at UAB may be appointed to the tenure-earning faculty only once during a period of continuous employment at UAB. That is, with appropriate approval, individuals initially appointed to the tenure-earning faculty may later be appointed to the non-tenure-earning faculty, but they may not subsequently return to the tenure-earning faculty in that same position during a period of continuous employment. They may seek appointment to a different position at UAB, which may be tenure-earning, tenured, or non-tenure-earning, if selected through national-level recruitment (Section [2.12](#)). Individuals initially appointed to the non-tenure-earning faculty may later be appointed to the tenure-earning or open-tenure faculty position provided that the search under which they are selected is for a tenure-earning faculty position. When appropriate, these individuals could then return to the non-tenure-earning faculty. Appointment change from a tenure-earning or non-tenure-earning status requires notification of the faculty member whose status is to change and the approval of their chair, dean, and Provost. Changes in tenure-earning status are clarified in Table 2.15.6.

**Table 2.15.6. Changes in Tenure-earning Status**

Current Status	Can Change to New Status?	Can Return to Prior Status?
TE	Yes, NTE, with approval (no search)	No, apply for TE faculty position with competitive national search (2.12).
NTE, original national search was open tenure	Yes, TE, with approval (no search)	Yes, NTE, with approval (no search)
NTE, original national search was not open tenure	No, apply for TE faculty position with competitive national search (2.12).	Not applicable
NTE, granted exception to national search (2.12)	No, apply for TE faculty position with competitive national search (2.12).	Not applicable

**Legend:** TE – tenure-earning, NTE – non-tenure-earning

### 2.15.7 Review for Progress Toward Award of Tenure

Tenure-earning faculty shall be reviewed by the department chair for progress toward the award of tenure in conjunction with the review for reappointment. Tenure-earning faculty also shall be reviewed at least every two years (or two-year equivalent for those with part-time appointments) for progress toward the award of tenure by an appropriate departmental or, in its absence, school, college, or UAB Libraries committee, according to the tenure and promotion guidelines for that school, college, or UAB Libraries. Tenure-earning faculty at the rank of assistant professor will also concurrently be reviewed for progress toward promotion (Section [2.16.1](#)) to comply with rank requirements for tenure (Section [2.15.3](#)). These reviews are substantive and thorough.

The department chair shall take whatever action is required to initiate the review within the department or school. Upon initiation of any review, the faculty member shall be invited to provide any information not previously submitted to the departmental activity file. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues and the department chair (or division director). Pre-tenure faculty members bear responsibility for understanding departmental expectations for promotion and tenure and for meeting those expectations.

At a minimum, departmental/school promotion and tenure committees must review annual activity reports and/or department chair reviews (accompanied with any written feedback by the faculty member as described in Section [2.14.2](#)), teaching evaluations, and authored materials or other scholarship/creative research, appropriate to the field. The pre-tenure reviews should analyze the faculty member's progress toward promotion and tenure and offer guidance regarding future activities and plans. All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for their departmental file.

The department chair (or division director) will meet with the faculty member to discuss the departmental/school review and recommendations. The faculty member, department chair, and dean will be advised, in writing, of the results of the departmental/school committee progress review, and the faculty member and dean will be advised, in writing, of the results of the chair's review progress toward award of tenure. If the reviewer has been conflicted by the institution, see Section [2.22](#).

Faculty have access to a variety of resources to prepare for discussions in connection with review for progress toward award of tenure, including the [UAB Ombuds](#), counseling provided through the employee relations unit of Human Resources, and other faculty development resources available on the Office of the Provost [website](#).

## **2.15.8 Review for Award of Tenure**

### **2.15.8.1 Departmental and School, College, or UAB Libraries Committee Review**

Review for the award of tenure begins with a departmental committee or, in its absence, a school-wide committee. Committees must be formed in accordance with procedures outlined in this Handbook. The faculty member shall take whatever action is required to begin the initial review. The recommendation of the departmental committee, together with the recommendation of the department chair, shall be forwarded to the dean who must refer it to the appropriate school, college, or UAB Libraries committee for review. The school, college, or UAB Libraries committee shall forward its recommendation to the dean. All committee documentation, correspondence, letters of support, deliberations, and recommendations remain private and will be shared only with people who have a legitimate need to know who are part of the tenure process or in compliance with university or legal obligations. The committee members should not share any committee information with the applicant.

### **2.15.8.2 Review and Decision of Dean**

If the dean's decision is for denial of tenure, the dean shall notify the school, college, or UAB Libraries committee, the department chair, the department committee, where appropriate, and the faculty member of their decision after Provost review. A denial of tenure serves as a one-year notice of non-reappointment as described in [2.15.8.3](#).

If the dean's decision is recommendation for tenure, the recommendation with supporting documentation will be sent to the Provost. The Provost review is based on the criteria from the academic unit in which the faculty member is based. If the Provost does not concur, the Provost shall notify the appropriate dean who shall, in turn, notify the appropriate parties of the denial of tenure.

If the dean's decision is not to recommend tenure, the faculty member may appeal according to the process outlined in this Handbook ([2.17](#)).

### **2.15.8.3 Notification of Faculty Member**

The Provost shall notify in a timely manner each candidate recommended by the dean concerning the award of promotion and/or tenure. Appropriate deadlines will be set by the Provost to allow each department or school adequate time for consideration, including actions by the President. Each involved faculty member shall receive prompt official notification prior to the release of public information concerning promotion or the award of tenure. The dean shall inform the faculty member in writing of the reasons for not awarding promotion and/or tenure if the dean did not forward a positive recommendation to the Provost. The Provost shall inform the faculty member in writing of the reasons for not awarding promotion and/or tenure if a negative decision is made by the



Provost. If the Provost recommends awarding promotion and/or tenure, the President will notify the faculty member in writing.

A denial of tenure serves as a one-year notice of non-reappointment of a faculty member for whom there are no further opportunities to apply for tenure pursuant to Section [2.15.4](#). In such cases, the last day of employment shall be the last day of the candidate's terminal year as provided in Section [2.15.4](#). Depending on the academic unit and subject to budget and unit and/or departmental priorities, in some circumstances the faculty member may be eligible for a change of tenure-earning status as described in Section [2.15.6](#).

Faculty have access to a variety of resources to prepare for discussions in connection with a negative recommendation, including the [UAB Ombuds](#), counseling provided through the employee relations unit of Human Resources, and other faculty development resources available on the Office of the Provost [website](#).

#### **2.15.8.4 Non-award of Tenure Because of Changes in Program Priorities**

Although an individual faculty member may meet the criteria for the award of tenure, a decision to deny tenure may be based on considerations of curriculum, enrollment, finances, or other program factors not prevalent or predictable at the time of original appointment.

#### **2.15.9 Consideration of Substantial New Evidence During Terminal Year**

If a faculty member who has been denied tenure but during the terminal year believes that there is substantial new evidence in support of a reconsideration of an award of tenure, then the candidate may present such evidence following the same department and school, college or UAB Libraries processes including all steps of approval that were used for the prior tenure application (Sections [2.15.8.1](#) and [2.15.8.2](#)). This review is not a *de novo* review and shall be based primarily on new evidence associated with the original application that resulted in the denial of tenure. If following the review, the recommendation of the dean supports that the denial of tenure should be reversed, the dean will forward the recommendation to the Provost, whose decision shall be final. No separate appeal to the Provost pursuant to Section [2.17](#) shall be available for a reconsideration of a denial of tenure. If the tenure reconsideration process exceeds the terminal year ([2.15.4](#)), the terminal year may only be extended to accommodate the tenure reconsideration process, if offered, to a maximum of September 30th.

### **2.16 Faculty Promotion**

Tenure-earning, tenured, and non-tenure-earning faculty are eligible for promotion. Policies and procedures regarding promotion may be found in this [handbook](#), the Provost's [website](#), and school/departmental handbooks.

#### **2.16.1 Review for Progress Toward Promotion**

Tenure-earning faculty at the rank of assistant professor shall be reviewed for progress toward promotion concurrently with reviews for progress toward the award of tenure (Section [2.15.7](#)) by both the department chair and an appropriate departmental or, in its absence, school, college, or UAB Libraries promotions committee as award of tenure is eligible for only ranks associate professor and higher (Section [2.15.3](#)). Tenure-earning faculty at the rank of associate professor or above, tenured faculty, and non-tenure-earning regular faculty have the option of a pre-promotion review by both the department chair and an appropriate departmental or, in its absence, school, college, or UAB Libraries promotions committee through a request to the department chair (or division director).

The department chair shall take whatever action is required to initiate the review within the department or school. Upon initiation of any review, the faculty member shall be invited to provide information not previously submitted to the departmental or unit's activity file.

At a minimum, departmental/school promotion committees must review annual activity reports and/or department chair reviews (accompanied with any written feedback by the faculty member as described in Section [2.14.2](#)), and if applicable criteria to the faculty appointment (Section [2.10](#)), teaching evaluations, and authored materials or other scholarship/creative research, appropriate to the field. All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for their departmental file.

The department chair (or division director) will meet with the faculty member to discuss the departmental/school review and recommendations. The faculty member and department chair will be advised, in writing, of the results of the departmental/school committee progress review, and the faculty member will be advised, in writing, of the results of the chair's review progress toward promotion. If the reviewer has been conflicted by the institution, refer to Section [2.22](#).

### **2.16.2 Review for Promotion**

The procedure for review and decision for faculty promotions shall follow the process outlined in this Handbook and specific policies developed in unit handbooks. Promotion of a faculty member's primary appointment does not automatically result in promotion of secondary appointment(s). All committee documentation, correspondence, letters of support, deliberations, and recommendations remain private and will be shared only with people who have a legitimate need to know who are part of the promotion process or in compliance with university or legal obligations. The committee members should not share any committee information with the applicant.

Faculty have access to a variety of resources to prepare for discussions in connection with a negative recommendation, including the [UAB Ombuds](#), counseling provided through the employee relations unit of Human Resources, and other faculty development resources available on the Office of the Provost [website](#).

### **2.17 Appeals**

Appeals are requests to the Provost for a reconsideration of the judgment by a dean that a faculty member should be denied reappointment, promotion, or tenure. Appeal of a negative decision shall be communicated to the Provost by the faculty member, in writing, within thirty calendar days of the date of denial. The Provost decision shall be communicated to the faculty member, in writing, within 60 days unless the Provost extends the timeframe for extenuating circumstances. Appeals to the Provost not resolved within the 60-day period will be considered as falling under the extenuating circumstances exception and shall not be construed as accepted or granted. A negative decision by the Provost ends the administrative review. The date upon which the initial written notice of non-reappointment is given in writing to the faculty member shall commence the running of the 12-month terminal appointment, not the date upon which the Provost appeal decision is given.

### **2.18 Termination of Employment of Tenured Faculty**

Within this section, the following terms have the meanings indicated:

- 1) "Termination" means the termination of employment of a tenured faculty member for cause or for reasons of bona fide financial exigency, bona fide financial crisis, or academic program/unit closure.



- 2) “Bona fide financial exigency” means a significant decline in UAB financial resources that is brought about by decline in institutional enrollment or by other actions or events that compel a reduction in UAB’s current operating budget.
- 3) “Bona fide financial crisis” means that a school, college, or UAB Libraries is unable, and for the foreseeable future will likely remain unable, to fulfill its teaching and research missions unless it is allowed to reduce its financial obligation to tenured faculty whose primary appointment is within that school, college, or UAB Libraries, Section [2.5.1](#). The financial crisis may not be precipitated by a redistribution of funds among the schools that comprise UAB and requires that UAB could not meet the obligation without significantly compromising the teaching and research missions of other schools and the UAB Libraries.
- 4) “Academic program/unit closure” means that (a) a unit in which primary tenured appointments are held (department, school, college, or UAB Libraries, Section [2.5.1](#)) is eliminated based on educational considerations which reflect long-range judgment and/or (b) a program in the unit of the primary appointment has been eliminated due to significant changes in program priorities (see Board of Trustees [Rule 301](#)).

### **2.18.1 Termination for Cause**

Except as detailed in this Handbook, employment of a tenured faculty member shall not be terminated without cause. Cause for termination must directly and substantially affect the fitness of the faculty member to function in the role of teacher, researcher, and colleague in an academic community, or be related to a serious failure of a faculty member to discharge their obligations to UAB. Examples include, but are not limited to, serious professional or personal misconduct, serious failure to perform academic duties in accordance with generally accepted norms, conviction of a serious crime and serious violations of a UAB policy.

In those instances, in which a department chair or the appropriate dean believes a faculty member’s behavior merits termination for cause, they shall refer charges to the Provost. Normally such cases should be dealt with through documented progressive discipline at the chair or dean level. However, if, after initial consideration, the Provost believes that the charges, if proven, could merit termination, the faculty member shall be informed in writing of the charges and will be advised of a right to a hearing prior to a decision on dismissal, as detailed in [Appendix B](#). Such a hearing shall be conducted in accordance with written procedures set forth in [Appendix B](#) of this Handbook.

A faculty member shall not be suspended prior to the final decision by the President concerning the termination for cause, unless the Provost determines that continuance of employment poses an imminent risk to the faculty member, others, or UAB. Suspension can be effected only by the President, and salary shall continue during a suspension. Only the President of UAB can make a final decision to terminate a UAB faculty member for cause.

Faculty have access to a variety of resources to prepare for discussions in connection with termination, including the [UAB Ombuds](#), counseling provided through the employee relations unit of Human Resources, and other faculty development resources available on the Office of the Provost [website](#).

## **2.18.2 Termination of Tenured Faculty Due to Bona Fide Financial Exigency, Bona Fide Financial Crisis, or Academic Program/Unit Closure**

### **2.18.2.1 General Grounds for Termination**

Tenured faculty appointments may be terminated with one year's notice due to demonstrable circumstances of bona fide financial exigency or bona fide financial crisis or due to an academic program/unit closure that is necessitated by compelling institutional rationale. Any decision by the President to terminate tenure for these causes must be made in accordance with the procedures described below and Board of Trustees [Rule 301](#).

Any termination of tenure for reasons of bona fide financial exigency, bona fide financial crisis, or academic program/unit closure shall consider advice from the faculty of the affected departments or the UAB Libraries. The appointment of a tenured faculty member shall not be terminated in favor of retaining a faculty member without tenure in the same academic unit unless this would result in an extreme distortion of that academic unit.

Before terminating tenured faculty, UAB will make efforts to place affected tenured faculty members in suitable available positions within UAB. If a reasonable period of retraining of an affected faculty member would qualify the individual for another available position at UAB, then reasonable and appropriate institutional resources shall be considered. No tenured faculty member shall be terminated within less than twelve months from the date of the Board of Trustees' approval of UAB's decision of financial exigency, financial crisis, program discontinuance, or unit elimination. UAB shall give reasonable assistance in the identification and facilitation of other employment opportunities.

### **2.18.2.2 Re-employment of Tenured Faculty Dismissed as a Result of Bona Fide Financial Exigency, Bona Fide Financial Crisis, or Academic Program/Unit Closure**

UAB shall not replace a tenured faculty member terminated for reasons of bona fide financial exigency, bona fide financial crisis, or academic program/unit closure for a period of two years, without first offering the position to the individual whose employment was terminated. Such offers should be made by certified mail, and the former tenured faculty member must respond within thirty days. If such former tenured faculty member accepts such a position, their tenure shall be reinstated.

## **2.18.3 Bona Fide Financial Crisis and Bona Fide Financial Exigency**

Should a dean, in consultation with the Provost, determine that a bona fide financial crisis exists within a school, college, or UAB Libraries and that the resolution of the crisis could involve the termination of faculty members holding tenure in academic units within the affected school, college, or UAB Libraries, the dean shall prepare a statement describing (a) the rationale for proposing the existence of a bona fide financial crisis and (b) a specific plan based on this rationale. The statement shall be reviewed by the faculty affairs committee within the potentially affected school, college, or UAB Libraries for the purpose of advising the dean. In addition, the dean should review the rationale and plan with the school, college, or UAB Libraries administrative leaders (associate and assistant deans), department chairs, and elected Faculty Senate members from the school, college, or UAB Libraries. Based on these consultations, the dean shall make a recommendation to the Provost.

If the President believes that a bona fide financial exigency exists or is predictable or concurs with the school, college, or UAB Libraries that a bona fide financial crisis exists or is predictable and if the resolution of either financial emergency could involve the termination of a tenured faculty member, then the President shall inform the Senate through the Chair of the Faculty Senate of the nature and extent of the financial emergency and

shall request that the Provost develop a plan to accommodate academic and research portions of the financial emergency. The Provost's plan to resolve a bona fide financial crisis may propose the termination of tenured faculty only from the school, college, or UAB Libraries in which the bona fide financial crisis exists.

### **2.18.3.1 Acquisition of Faculty Advice by the Provost**

The Provost shall appoint a committee composed of tenured faculty members, where possible, from each school, college, or UAB Libraries, who does not hold an administrative appointment at or above the level of department chair. Half of the members shall be selected by the Faculty Senate, and half of the faculty members shall be selected by the Provost.

The committee is charged with reviewing the urgency of the bona fide financial exigency or bona fide financial crisis and the appropriateness of the Provost's plan, while acting in the best interests of UAB as a whole. The committee shall have access to all information reasonably available at the time, including documentation that a bona fide financial exigency or bona fide financial crisis exists and documentation concerning the Provost's plan for alleviating the financial emergency. Within 30 calendar days after its initial meeting, the committee shall submit to the Provost a written recommendation concerning both the financial urgency and the Provost's plan for its resolution.

### **2.18.3.2 Provost's Actions**

The Provost shall submit a recommendation to the President describing a specific plan to accommodate the bona fide financial exigency or bona fide financial crisis, including any recommendations for the termination of tenured faculty members. The Provost also shall submit to the President the recommendations of the faculty committee.

### **2.18.3.3 President's Actions**

Within thirty days of receipt of the Provost's and committee's recommendations, the President shall (a) deny the recommendation, (b) return alternative recommendations to the Provost for their advice, or (c) accept the original recommendation. Alternative recommendations returned to the Provost for their advice will follow the process of acquisition of faculty advice detailed in this Handbook.

If the President's decision requires the termination of tenured faculty member(s), such faculty will be notified in writing by the President before the President requests approval of the decision of financial exigency or financial crisis by the Chancellor and the Board of Trustees. A faculty member may request a hearing in accordance with [Appendix C](#).

If, after the above notification(s), the President remains committed to a declaration of a financial emergency, then, in accordance with [Board Rule 301](#), the President shall notify the Chancellor and the Board of Trustees that a bona fide financial exigency or bona fide financial crisis exists within UAB and the President shall propose UAB's plan to meet the crisis, including any and all proposals for termination of tenured faculty members. The Chancellor and the Board of Trustees must approve the declaration of a bona fide financial exigency or a bona fide financial crisis before the termination of any tenured faculty member for either financial cause. Simultaneous with the President's notification to the Chancellor and the Board of Trustees, the President shall inform the Faculty Senate through the Chair of the Faculty Senate of the details of UAB's proposed plan.

## **2.18.4 Procedures for Academic Program/Unit Closure**

If a dean or the Provost determines that it is in the best interest of UAB to consider an academic program/unit closure that could involve the termination of faculty holding tenure in that academic unit, they shall prepare a statement describing (a) the rationale for proposing a program/unit closure and (b) a specific plan based on this rationale. The statement shall be reviewed by the faculty affairs committee within the potentially affected school, college, or UAB Libraries for the purpose of advising the dean. In addition, the dean should review the rationale and plan with the school, college, or UAB Libraries administrative leaders (associate and assistant deans), department chairs, and elected Faculty Senate members from the school, college, or UAB Libraries. Based on these consultations, the dean shall make a recommendation to the Provost.

### **2.18.4.1 Acquisition of Faculty Advice Concerning the Recommendation**

If, after receiving the recommendation, the Provost believes that action may be appropriate and determines that internal school, college, or UAB Libraries review has been conducted, the Provost shall appoint a committee composed of five faculty members who do not hold administrative appointments above that of a department chair, selected by the Faculty Senate, and five faculty members who do not hold administrative appointments above that of a department chair, selected by the Provost.

The committee is charged with acting in the best interest of UAB as a whole and is responsible for evaluating whether the decision to close the academic unit or discontinue the program is based on educational considerations and assessing any other issues deemed relevant by the Provost and the committee.

The committee shall have access to all information reasonably available at the time, including documentation of the necessity and rationale for the academic program/unit closure and documentation concerning the Provost's plan. Within 30 calendar days after its initial meeting, the committee shall submit to the Provost and the faculty (through the chair of the Faculty Senate) a written recommendation concerning both the advisability of the academic program/unit closure and the Provost's plan.

### **2.18.4.2 Provost's Action**

If the Provost believes an academic program/unit closure is in the best interest of UAB as a whole, the Provost shall submit a recommendation to the President describing the necessity and rationale for proposing the academic program/unit closure and a specific plan based on this rationale, including any recommendations for the termination of tenured faculty members. In the formulation of this plan, the Provost in consultation with the affected faculty member(s) and appropriate deans shall consider the feasibility and advisability of placing the potentially terminated faculty members in other academic units at UAB. The Provost also shall submit to the President the recommendations of the faculty committee.

### **2.18.4.3 President's Action**

Within thirty days of receipt of the Provost's and committee's recommendations, the President will (a) deny the recommendation, (b) return alternative recommendations to the Provost for their advice, or (c) accept the original recommendation.

If the President's decision requires the termination of tenured faculty, such faculty shall be notified in writing by the President before the President requests approval of the decision of academic program/unit closure by the Chancellor and the Board of Trustees. A faculty member may request a hearing in accordance with [Appendix C](#). If the President's decision is unchanged as a result of the hearing, the President shall submit the request for approval of the recommendation of closure to the Chancellor.

## 2.19 Grievances (other than appeals)

A full-time or part-time regular faculty member may seek redress for a grievance, which is an action or decision that has materially and/or adversely affected their professional faculty capacity at UAB and appears to have been reached unfairly, improperly, or in violation of University policy. However, such a grievance does not include or apply to the following types of actions or decisions ([Appendix F](#)):

- 1) Appeals regarding denial of reappointment, promotion, or tenure, which are covered by Section [2.17](#);
- 2) Matters regarding judgment of professional qualifications of a faculty member which are vested in the department, college, school, or library peer groups, in academic administrators, or in third parties used by departments, college, schools, or library peer groups;
- 3) Terminations, which are covered by Section [2.18](#) and Appendices [B](#) and [C](#);
- 4) Claims of discriminatory harassment, discrimination based on race, color, religion, sex, sexual orientation, gender identity, gender expression, age, national origin, disability unrelated to job or program performance, veteran status, or genetic or family medical history, all of which are subjects of University policy including but not limited to the policies covered in Section [3.8](#), unless such policy expressly incorporates this Handbook's grievance procedures;
- 5) Allegations or findings of research misconduct, which are covered by Section [3.5](#);
- 6) Dissatisfaction with existing University policies, procedures or guidelines (only misapplications of a policy, procedure or guideline as to specific individuals are grievances within this policy);
- 7) Decisions made by administrators in the ordinary course of their administration (including but not limited to teaching assignments and resource allocations), except as such a decision or set of such decisions is part of a pattern of conduct that as a whole rises to the level of grievance;
- 8) Negative evaluations of an individual faculty member's professional work, other than negative evaluations that constitute violations of academic freedom, which might properly be characterized as a grievance (appeals of annual faculty evaluations are described in Section [2.14.3](#));
- 9) Conflicts between faculty members unless the faculty member against whom the grievance is lodged was in that case acting in an administrative capacity;
- 10) Dissatisfaction with a salary or other compensation decision, except as such a decision or set of such decisions is part of a pattern of conduct that as a whole rises to the level of grievance; or
- 11) Decisions made by UAB public safety officers with respect to a faculty member.

A faculty member with a grievance may file a written complaint and may seek solution of the problem through the appropriate department chair or dean. Thus, each school, college, and UAB Libraries may develop and disseminate to its faculty a clear description of the unit's grievance procedure. If unable to obtain a satisfactory resolution at the school, college, or UAB Libraries level, following established school, college, or UAB Libraries procedures, the faculty member may then file a written grievance with the Provost. Upon receipt of a written grievance, the Provost will review the grievance and will determine a course of action as appropriate. The grievance procedure is described in [Appendix A](#) of this Handbook.

The Provost shall report quarterly to the chair of the Faculty Senate the status of new and continuing Grievances and Termination for Cause cases during the reporting period.

Faculty have access to a variety of resources to prepare for discussions in connection with a grievance, including the [UAB Ombuds](#), counseling provided through the employee relations unit of Human Resources, and other faculty development resources available on the Office of the Provost [website](#).

### **2.19.1 UAB Grievance and Termination Hearing Panel**

The UAB Grievance and Termination Hearing Panel shall be used as a panel from which to select a Grievance Committee, should one be needed and from which to select a Hearing Committee in the case of termination for cause of a tenured faculty member, as described in [Appendix B](#), or in the case of termination due to a bona fide financial exigency, bona fide financial crisis, or academic program/ unit closure, as described in [Appendix C](#). The panel shall consist of three faculty members elected from the UAB Libraries, each school and the Joint Health Sciences departments and nine elected faculty members from the College of Arts and Sciences. To be eligible for service on this panel, faculty members must have tenure or in the case of the UAB Libraries, must hold the rank of Associate Professor or Professor in UAB Libraries. Members must not have significant administrative responsibilities. Only tenured faculty will be eligible to serve on Hearing Committees in the case of termination for cause of a tenured faculty member or termination of a tenured faculty member due to a bona fide financial exigency, bona fide financial crisis, or academic program/unit closure.

Panel members shall be elected every two years by the faculty of their respective schools, college, and UAB Libraries, in accordance with procedures adopted by each unit. The elections shall be coordinated by the appropriate dean who shall forward the names of elected faculty to the Provost. The Provost or their designee shall arrange those names in random order to create the panel from which Grievance or Hearing Committees shall be obtained.

Each Grievance Committee shall be made up of three members of the standing panel. Each Hearing Committee shall be made up of five tenured faculty members of the standing panel. The first Grievance or Hearing Committee of the biennium shall be made up from the first names on the randomly generated list of panel members. Panel members who are in line for service on a committee, but who do not serve for whatever reason, shall be the first called for service on the next committee.

Complete procedures for selecting a Grievance Committee and the role of that committee are described in this Handbook and in [Appendix A](#). Complete procedures for selecting Hearing Committees and the duties of those committees are described in Appendices [B](#) and [C](#).

### **2.20 Resignation**

Acceptance of a full-time or part-time regular faculty appointment is a commitment to the scheduled academic year. When circumstances do not permit the completion of such a commitment, UAB may agree to an earlier resignation with a written notice of not less than 30 calendar days, unless additional notice is stipulated by the faculty appointment. Advanced notice up to one semester is recommended to minimize impact on academic, research, and/or patient care programs. Failure to provide appropriate written notice may result in a faculty member being considered ineligible for future employment at UAB.

When a faculty member resigns, they will be paid through the last day worked and will be eligible for payment of all vacation accrued but not taken at the time of resignation up to the maximum terminal payout allowed under policy (HR Policy 605). UAB reserves the right to withhold terminal vacation pay under certain circumstances.



Vacation time and personal holidays may not be taken during the last pay period after termination notice has been given. Sick time may be granted after the termination notice has been given; however, the department reserves the right to require a physician's certification before authorizing payment. Unused sick time and personal holidays will not be paid as terminal leave.

Prior to leaving UAB, the faculty member should complete an online exit survey and arrange for the conversion or transfer of benefits.

On the last day of employment or when designated by the department, faculty should return all UAB property to the appropriate areas.

## **2.21 Retirement**

Retirement is defined as a termination of service from the University and eligibility to immediately receive retirement benefits under a plan of the Retirement Systems of Alabama (RSA) or other approved University retirement plan. There is no compulsory retirement age for faculty. Current guidelines for retirement, including years of creditable service and age requirements, pre-planning guidance, health insurance, etc., may be found with the [Retirement Systems of Alabama](#).

The [UAB Human Resources Benefits Office](#) provides UAB-specific guidance and aids the faculty member through the RSA retirement application procedures, including health insurance, and other benefit options. Faculty must retire on the first of a month and must submit application to the UAB Benefits Office between thirty to ninety days prior to the anticipated retirement date. The faculty member is responsible to set up the initial and follow-up appointments with the Benefits Office (205-934-3458) and to assure careful adherence to timelines.

Unused vacation and sick time and sick time are described in Section 4.2 and 4.3 respectively.

Faculty e-mail accounts are terminated after a three-month period following retirement, but retirees may be eligible to retain their 'uab.edu' email addresses associated with a Blazer ID through an indefinitely retained 'forward' to a personal email account ([Blazer 4 Life](#)).

Faculty retirees may be eligible to return to UAB employment while continuing to receive full retirement benefits under specific appointment and compensation limitations as well as compliance with the Revolving Door provisions of the [Alabama Ethics Law](#). Retirees should consult with [UAB Human Resources](#) for specific guidance.

## **2.22 Supervisors with Institutionally-Determined Conflicts**

Supervisors with institutionally-determined conflicts of interest may be required by the Institution to recuse themselves in the review and recommendation for promotion, tenure, and salary determinations of individuals whom they supervise.

## 3.0 Other Faculty Rights and Responsibilities

### 3.1 Principles of Responsibilities

All faculty members of the University of Alabama at Birmingham are expected to comply with applicable federal, state and local laws as well as the policies and procedures of the UAB and The Board of Trustees of The University of Alabama. For those faculty members who are a member of an occupation or profession that has established standards of conduct [including licensure, registration, and certification as required], if they are acting for UAB in that professional capacity, they are expected to conduct the affairs of the University and their profession according to the standards of conduct applicable to such occupations or professions.

The core values of UAB include academic freedom, accountability, caring and responsive service, collaboration, commitment to excel, community involvement, diversity, entrepreneurial/can-do attitude, ethical conduct, shared governance, and unity of purpose.

The responsibilities of the faculty as a community of scholars include:

- Conduct of teaching, service, scholarship, and research fulfilling an ethical obligation to the University and the community of recipients of such activities
- Practice of ethical behaviors with integrity related to all academic responsibilities
- Respect for the rights of students to an environment supportive of learning achievements
- Conduct that represents fair and respectful interactions with colleagues, students and community members
- Conduct of work responsibilities in accordance with the University's policies and procedures
- Use of all types of University resources appropriately
- Practice of work-related policies of the University, a specific academic unit and department to assure fair and equitable treatment of all UAB employees
- Contribution to a culture of compliance by identifying, reviewing, and managing conflicts of interest and commitment appropriately
- Preservation and practice of academic freedom
- Contribution to a culture of trust among faculty, staff, students, and administrators
- Management of information to assure rights to privacy and confidentiality for constituents of the University
- Promotion of health and safety for all in the workplace and learning environments
- Support of a workplace environment of collaboration and civility appropriate with academic citizenship practices and absence of workplace harassment.

It is expected that members of the University community of scholars shall comply with policies and procedures included in the *UAB Faculty Handbook of Policies and Procedures*, the *You and UAB Handbook for Faculty and Staff*, and Human Resources Policies, other operations policies in the UAB Policies and Procedures Library, as well as all Board Rules and guidance issued by the Chancellor and the Board of Trustees.

While it is the responsibility of UAB's Administration to maintain current and fair policies and procedures and to appropriately and frequently communicate current information about policies and procedures to appropriate UAB employees, it is the responsibility of faculty members to be aware of such policies and procedures and recognize that lack of compliance with specific policies and procedures can potentially lead to actions up to and including termination.



### 3.2 Academic Freedom

The academic freedom of the faculty is essential to the University in fulfilling its mission. UAB affirms the principles of academic freedom as expressed below in the statement was adopted from the [American Association of University Professors 1940 Statement of Principles on Academic Freedom and Tenure and 1970 Interpretive Comments.](#))

*The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to ensure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.*

*Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.*

*Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to [people] of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.*

*Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.*

*Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.*

*College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.*

Academic freedom allows faculty to express, debate, and explore any topic area in UAB teaching, research, service, or other professional activities based on their expertise and research in their discipline without censorship, punishment, retaliation, or other reprisals. Academic freedom is extended to all faculty regardless of tenure status or appointment type ([Section 2.5](#)). This freedom is not unlimited, and activities excluded by law or the policies of UAB or the UA System, including exceptions to expressive activities defined within the [UAB Freedom of Expression and Use of UAB Facilities Policy](#), are not covered by academic freedom. Faculty activities are encouraged to reflect the [UAB Shared Values \(Section 1.3.2\)](#) and to be consistent with the [University of Alabama System Resolution Recognizing Commitment to Freedom of Speech and Expression, June 4, 2020](#).

### 3.3 Political Activity

Board of Trustees [Rule 304](#), Political Activities of University Personnel, and any guidelines which may be promulgated hereunder apply to all administrative officers, faculty, staff or other employees of The University of Alabama System. Important aspects of [Board Rule 304](#) include these major requirements:

- UAB employees are not to use UAB resources for political activities
- UAB employees are not to coerce faculty, staff, or students to participate in political activity

Any faculty member who plans to seek election or appointment to a public office must first notify their Dean and Department Chair and must have the approval of the President and the Chancellor.

Both the Board of Trustees and UAB are committed to institutional neutrality, positions which are set out in Board Rule 304 and [UAB's policy on free speech, civil discourse, institutional neutrality, and political activity](#).

### 3.4 Fundraising

All efforts within UAB to raise funds from private sources including corporations, foundations, individuals, or other charitable entities must be approved, *prior to their initiation*, by the Vice President for Development and Alumni in accordance with the [Fundraising Policy and Gift Acceptance Policy](#).

Individual staff and faculty members are encouraged to answer questions and discuss gift opportunities with potential donors. These inquiries *must be reported promptly* to the UAB Development Office.

All gifts and pledges, whether solicited or unsolicited, must be reported and/or delivered immediately to the UAB Gift Records Office for acknowledgment and record-keeping purposes.

### 3.5 Maintenance of Ethical Standards When Conducting Teaching, Research, Scholarship, and Service Activities

The principles that govern scientific research and other scholarly activities have long been established and have been applied by faculty and administrators for the discovery of new knowledge. The [Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities](#) and the [Authorship Policy](#) have been developed at UAB to emphasize UAB's commitment to ethical standards and to deal effectively and responsibly with instances in which misconduct is suspected.

The University is a participant with the [UAB Hotline](#) and all employees are expected to practice ethical behaviors in teaching, service and research.

It is the responsibility of each UAB employee to accurately document information related to work practices. All faculty members must be aware of and comply with the policy [Concerning Employee Falsification of UAB Records and Documents](#).

### 3.6 Standards of Behavior

In the continuing effort to maintain an effective and safe work/study environment and to comply with relevant federal and state laws, UAB has adopted a variety of policies governing faculty, staff, and student behavior. These policies were established to ensure acceptable standards of behavior. A key strategic goal of UAB is to create and maintain a positive, supportive, and diverse work/study environment where faculty, staff, and

students can excel. To fulfill this goal, UAB expects that faculty, staff, and administrators will display professionalism as applicable to teaching, research and institutional service.

Spirited argument among faculty on technical or policy issues conducted within the normal modes of discourse in their area of academic expertise shall not be construed as unprofessional behavior. All faculty and administrators are charged with fulfilling these responsibilities as defined in this Handbook. All faculty are expected to practice the UAB [Shared Values](#) (Section 1.3.2) outlined in the UAB Strategic Plan, ethically conduct teaching and research as described in the [UAB Enterprise Code of Conduct](#) and the [Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities](#). Further, all faculty are expected to promote health and safety in the workplace as described in the *You & UAB Handbook* and other UAB policies and handbooks related to professionalism and standards of behavior. The [Violence Prevention and Response Policy](#) and the [Duty to Report and Non-retaliation Policy](#) define expectations promoting a safe environment. Freedom of expression, as defined in [Freedom of Expression and Use of UAB Facilities Policy](#), and Academic Freedom (Section 3.2) must be balanced with promotion of fairness, respect, and equity throughout the UAB community.

On occasion, faculty may have disagreement with actions or decisions made within UAB by administration or other members of the UAB community. Unless specific policies dictate otherwise, resolution through supervisory structure is generally recommended. Section 2.19 provides guidance to determine if a grievance or if other policy may be applicable ([Appendix F](#)). Additionally, the [UAB Ombuds Office](#) is a neutral resource available to all faculty, which is independent, confidential, and not part of any formal process.

UAB Faculty Senate endorses the [AAUP Statement on Professional Ethics](#) as stated below, which “sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.” The Statement, “originally adopted in 1966, was approved by the Association’s Committee on Professional Ethics, adopted by the Association’s Council in June 1987, and endorsed by the Seventy-third Annual Meeting.”

*I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.*

*II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.*

*III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be*

*objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.*

*IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.*

*V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.*

Good Standing implies, but is not limited to, a faculty member that (a) demonstrates a record of decisions and actions consistent with the [UAB Enterprise Code of Conduct](#); (b) is compliant with UAB policies and performance expectations; (c) is not subject to current university-imposed, unit-imposed, or employment-related external sanctions, disciplinary actions, or restrictions; and, if applicable, (d) is up-to-date with financial obligations to the University. Good Standing may impact eligibility for activities such as merit increases, leave requests, awards, endowments, and/or emeritus status.

### **3.7 Nepotism Policy**

UAB employees may not appoint to any UAB position or enter into a UAB-related personal service contract with a member of their immediate family or another UAB employee who resides in the same household. In addition, employees may not be the immediate supervisor for or be in the chain of command (i.e., make work-related decisions for immediate family members in regard to hiring, promotion, reassignment, performance evaluation, or discipline). See the full policy at Nepotism - [HR Policy 123](#).

### **3.8 Equal Opportunity and Discriminatory Harassment**

The University of Alabama at Birmingham remains fully committed to [equal employment opportunity](#), nondiscrimination, the prevention of unlawful harassment in employment, and providing an environment where everyone feels secure and welcome. UAB treats complaints of wrongful conduct seriously and investigates them promptly and thoroughly. Refer to the [Equal Opportunity and Discriminatory Harassment Policy](#) and the [Title IX Policy](#). The Title IX policy has two associated procedures.

- 1) Title IX Procedures for the Resolution of Sexual Harassment Complaints.
- 2) [Procedures for the Resolution of Title IX Sex Discrimination Complaints \(non-harassment\)](#).

An individual who believes that they have experienced forms of discrimination on the basis of sex including sexual harassment should report the incident promptly to the Title IX Coordinator or other Responsible Reporting Official (see [Title IX policy](#)). For more information, see [UAB Title IX website](#).

Faculty members should be familiar with the [Policy Concerning Consensual Romantic Relationships](#).

UAB is committed to nondiscrimination and employment of qualified individuals with physical and mental disabilities in accordance with the Rehabilitation Act of 1973 (Section 504), the Americans with Disabilities Act (ADA) as amended by the Americans with Disabilities Act Amendments Act (ADAAA), and state and local laws and ordinances. UAB provides reasonable employment-related accommodations through the [AWARE Program](#) to qualified individuals with known disabilities. Academic-related accommodations are managed through [Disability and Support Services](#) and includes guidance for faculty [rights and responsibilities](#).

### **3.9 Ownership of Intellectual Property Rights (Patent Policy)**

Intellectual property (IP) is any product of human intellect that the law protects from unauthorized use by others, and is traditionally divided into four categories: patents, copyrights (Section [3.10.1](#)), trademarks (Section [3.10.2](#)), and trade secrets. UAB faculty members are expected to comply with University policies regarding the creation, disclosure, and ownership of IP. Faculty members are obligated to report any such invention or discovery which they have authored, conceived, or developed as described below. Entrepreneurial and other IP development activities are encouraged by the University, demonstrate academic merit ([Appendix E](#)), but may require management for potential conflicts of interest or commitment (Section [3.11](#)).

The Board of Trustees of The University of Alabama [Rule 509](#) is the University Patent Policy and governs the ownership and the administration of inventions and discoveries.

Other institutional policies, processes, and documents regulate the ownership of IP and include, but are not limited to, copyright ([3.10](#)), conflicts of interest and conflicts of commitment ([3.11](#)), the [Revenue Distribution Summary](#), and the [UAB Patent Agreement](#). Those policies, processes, and documents also provide recognition and incentive to inventors and at the same time ensure that UAB shares in the rights pertaining to inventions in which it has an investment. Any income accruing to UAB is used in the furtherance of its academic mission.

Disclosure of discoveries and inventions are made to the UAB Bill L. Harbert Institute for Innovation and Entrepreneurship (HIIE) at the [Disclosure of Intellectual Property](#) website. Employees may not themselves assign or grant any option to any such intellectual property developed during the course of their employment.

Questions concerning intellectual property rights should be directed to the [Bill L. Harbert Institute for Innovation and Entrepreneurship](#).

### **3.10 Copyright and Trademarks**

#### **3.10.1 Copyright**

UAB is committed to complying with all applicable laws regarding copyright and has adopted a [Copyright Policy](#) for protection of original creative works by UAB faculty members such as books, movies, songs, paintings, photographs, web content, software, and choreography. Copyright in work produced by a faculty member, including distance learning work, that are considered University Assigned Works, Sponsor Supported Works, or University Assisted Works, have ownership defined within the [Copyright Policy](#). If work produced by a faculty member on their own initiative does not meet the above classifications, then the work and any revenues derived from that work may be the exclusive property of the individual.

- University Assigned Works are works produced by a faculty member while conducting their regular employment duties or if specifically directed or commissioned by UAB. A faculty



member's general obligation to produce scholarly or creative works does not constitute a University Assigned Work.

- Sponsor Supported Works are works produced in whole or in part with the assistance of an outside sponsor through a grant or contract with UAB and are subject to the applicable provisions of the sponsorship agreement or terms of the grant.
- University Assisted Works are works produced with substantial use of University resources. "Substantial use" of University resources generally refers to the use of personnel and physical resources beyond the ordinary use of UAB's libraries, equipment or personnel. A determination of "substantial use" will be made by the Provost or their designee.

"Shop rights" mean a non-exclusive, non-transferable, royalty-free license to reproduce, publicly perform or display or make derivative works of any copyrighted works, for educational or research purposes. Except for textbooks and articles published in scholarly journals, UAB shall have shop rights in work produced by faculty members on their own initiative which are not otherwise University Assigned Works, Sponsor Supported Works and/or University Assisted Works. Faculty members shall have shop rights to copyrighted works owned by the University which are University Assigned Works, Sponsor Supported Works and University Assisted Works provided such shop rights are not used in competition with the University during the individual's employment with UAB or course of studies at UAB.

Faculty members are not required to disclose works produced by their own initiative. However, for University Assigned Works, Sponsor Supported Works and University Assisted Works, the creator shall provide written disclosure of the work during its creation or immediately thereafter to their supervisor and to the [Bill L. Harbert Institute for Innovation and Entrepreneurship](#).

UAB provides a [resource website](#) addressing copyright including [Fair Use](#) in an academic settings, as well as a [Copyright FAQ](#) that answers questions about copyright law as it affects faculty work.

### **3.10.2 Trademarks**

All trademarks used within the UAB enterprise and used in connection with the provision of goods and services by the UAB enterprise are owned by The Board of Trustees of The University of Alabama. Guidance on usage of trademark symbols is found in the [UAB's trademarks and licensing website](#).

## **3.11 External and Internal Activities**

### **3.11.1 External Activities**

UAB recognizes outstanding contributions and achievement by its faculty not only by appropriate compensation adjustments and promotion but also by permitting faculty members' substantial freedom in arranging their academic lives. Although teaching, research, and service are the primary functions of UAB faculty, UAB recognizes the desirability of making available the services of the many highly trained specialists on its faculty to business, industry, government, professional societies, or other appropriate groups. This is consistent with a fundamental mission pillar of UAB (Section [1.3](#)) which encourages community engagement partnerships through external entrepreneurial activities to advance economic prosperity and societal impact. The involvement of UAB faculty in providing external services of a professional nature can, under appropriate circumstances and with prior approval, occur simultaneously with a faculty member's other academic duties and contributes significantly to the public welfare, offers opportunities for professional challenge and growth, brings recognition to the institution, and contributes to the improvement of UAB's teaching, research, and service programs. Therefore, UAB encourages members of its faculty to participate in extramural activities which are consistent

with their primary responsibilities to the institution once potential conflicts of interest and conflicts of commitment are carefully evaluated and managed.

Full-time faculty members may, with the approvals described below, provide professional services to outside organizations to furnish services as a consultant provided such activity (a) does not interfere with the performance of other responsibilities as a faculty member, (b) is limited in time, (c) is compatible with the interests of UAB as a public academic institution, and (d) does not require significant use of UAB resources or facilities. Faculty activities which use significant UAB time or UAB resources (for example, laboratories, studios, equipment, supplies, databases, students, or staff paid by UAB) should be handled as UAB grants or contracts. Regular external teaching or research activities represent a conflict of commitment, and full-time faculty members may not hold regular faculty appointments at other institutions, except in connection with a joint program entered into between UAB and another institution, or similar arrangement as described in the [UAB Enterprise Conflict of Interest and Conflict of Commitment Policy](#). Contingent faculty appointments (e.g., adjunct) at another institution are external activities and are managed annually through a [Request for an External Activity Approval form](#). It is possible to have a conflict of interest or commitment outside of normal working hours, during periods of non-service (e.g., summer term for faculty having a 9-month appointment, weekends, etc.), or during leave of any type.

Because of the great variation in the nature of faculty expertise and external activities, it is difficult to establish specific rules or time allocations for external activities that draw upon the knowledge and skill of a faculty member's professional duties at UAB. It is the responsibility of the faculty member, Department Chair, and Dean to exercise judicious oversight and control of external activities so that no UAB functions or policies are neglected. As set forth in [HR Policy 128](#), full-time faculty are limited to 20 (twenty) typical working days per year of approved external activities. This limit does not apply to periods of vacation, university or personal holidays, or designated time-off for faculty with nine-month appointments (Section 4.1). Written prior approval to participate in any external activities, except those cases of exempted professional public service activities identified below, shall be obtained from the Dean through the appropriate Department Chair using the [Request for External Activity Approval Form](#). Request for leave for external activities is a separate process and is covered in [Section 4.5.7](#).

Faculty who are denied approval for external activities should seek resolution directly through their respective department chair or dean, See [Appendix F](#).

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

- 1) Professional studies, seminars, lectures, service on advisory committees, participation on boards of directors, participation in manuscript review, grant/contract review, or academic program review 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, seminars, lectures, service on advisory committees, 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; and
- 4) Participation on boards of directors with UAB Enterprise affiliated entities.

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

All other external activities which draw upon the knowledge and skill of a faculty member require prior approval. Although examples in and of themselves require interpretation and judgment, a sample of such compensated activities usually will include (a) one-time or multiple visits to a business for the purposes of offering advice and counsel, (b) carrying out investigations or studies which are not UAB grants or contracts, (c) a series of non-UAB lectures or performances for commercial entities, (d) serving as an expert witness, or (e) rendering specific professional services other than those through a UAB-affiliated professional services fund. See Appendix G for guidance regarding internal, external, and professional public service activity approvals and the associated leave requests.

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

### **3.11.2 Internal Activities**

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

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

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

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

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

The appropriate Department Chair or Dean of the faculty or staff performing the internal activity and Department Chair or Dean of the unit requesting the service must give their approval of these internal activities. If the internal activity is across school lines, approval by the Provost also is required. Internal activities by UAB faculty or staff under funds obtained from UAB grants or contracts or funds from any extramural source



additionally requires the approval of the Provost. All such approvals must be obtained before a commitment is made.

### **3.11.3 Conflicts of Commitment and Conflicts of Interest**

A conflict of commitment exists when a faculty member's engagement in external or internal activities compromises the ability to carry out their primary obligations and commitments to UAB. A conflict of interest exists when a faculty member's financial, professional, or personal interests affect, or have the appearance of affecting, judgment in exercising a duty or responsibility owed to UAB.

Expeditious disclosure and resolution of such conflicts or potential conflicts is in the best interest of all involved. Actual or potential conflicts of commitment or interest must be disclosed using the [electronic process for Faculty/Staff External Activities/COI disclosure](#). When a potential or actual conflict of commitment/interest arises, it is expected that the faculty member, with the assistance of the Department Chair, Dean, and others as necessary, will act to manage the potential or actual conflict.

The use or orientation of any faculty effort at UAB to serve the needs of an individual, group, firm, corporation, or other organization or entity without proper disclosure of such use or orientation to a sponsoring agency and to UAB constitutes a serious breach of confidence. Furthermore, there should be no purchase by a UAB employee of any major equipment, instruments, materials, services, and other items for use in UAB faculty efforts from a corporation, company, firm, or organization in which the employee has a pecuniary interest without obtaining approval by UAB in advance.

Disclosure of conflicts of interest/commitment involving extramural funding is the responsibility of the faculty member or employee and must be done prior to, or as a part of, the UAB grant and contract application process. All individuals who are "investigators" are required to disclose significant financial interests (1) which reasonably would appear to be related to research for which funding from any source is sought and (2) in any and all entities whose financial interests reasonably would appear to be affected by the research. The term "investigator" includes any person who is responsible for the design, conduct, or reporting of extramurally funded research or educational activity. The term includes principal investigators, project directors, co-principal investigators, co-project directors, and other faculty investigators and faculty project personnel. The term also may include staff, trainees, students, administrators, and other collaborators who have such responsibilities.

Many conflicts of commitment/interest situations may arise, both obvious and subtle, in such variety that they cannot be presented adequately in this document. The [UAB Enterprise Conflict of Interest and Conflict of Commitment Policy](#) provides greater insight into these important issues, as well as [Board Rule 106.2](#) and the [Alabama Ethics Commission](#).

Senior administrators shall disclose any potential conflict of interest as described in the UA System [Board Rule 106](#).

Questions related to the UAB Enterprise Conflict of Interest and Conflict of Commitment Policy should be directed to the [University Compliance Office](#).

### **3.12 Development and Ownership of Digital Media and Software**

UAB recognizes the importance of obtaining the greatest public benefit from its scientific research, inventiveness, and creativity. The widespread use of the electronic, digital, computer, and related technologies as a tool for teaching, research, service, or administration has led to new types of intellectual property (IP) related

to the development of software, databases, media, or other creative works. All such IP are encompassed within, and governed by, the University IP policies described in Sections [3.9](#) and [3.10](#).

### **3.13 Acceptable Use of Digital Media and Software**

Respect for the intellectual work of others is a tradition at UAB. UAB values the free exchange of ideas but not plagiarism or the unauthorized copying of computer software, including programs, applications, and data. It is the policy of UAB to comply with copyright law and license agreements entered into with vendors or authors of computer software. No illegally obtained or illegally copied (often referred to as “pirated”) computer software is allowed at UAB. UAB does not, and will not, condone illegal copying of computer software nor the use of illegally copied or obtained computer software (see [Acceptable Use Policy](#)). Anyone connected with UAB who makes, uses, or otherwise acquires unauthorized computer software in connection with their role at UAB shall be subject to discipline which may include discharge. Additional guidance for software, media, and other resources is described in the [Acceptable Use Policy](#).

### **3.14 Data Protection and Security**

UAB relies heavily on its electronic data processing systems and computers to meet its operational, financial, and informational requirements. It is essential that these systems and machines be protected from misuse and unauthorized access. Therefore, deliberate, unauthorized attempts to access or use UAB’s computers, computer facilities, networks, systems, programs, or data or unauthorized manipulation of the above is a violation of UAB policy. The [Data Protection and Security Policy](#) provides additional guidance.

Additional Information Technology related policies which faculty members are expected to be aware of and comply with are located at: <https://www.uab.edu/it/home/policies>

### **3.15 Execution and Review of Contracts for The University of Alabama at Birmingham**

Only certain UAB administrative officials are approved by the Board of Trustees to sign contracts, agreements, letters of understanding, or any document which purports to commit UAB to a course of action, especially in the case of commitments of fiscal resources and expenditures. A faculty member may not be the final signee of such UAB contracts, agreements, etc.

All proposed contracts and agreements which commit UAB resources must receive hierarchical review and signature approval by the appropriate individuals at the division, department/unit, and school levels and by the appropriate vice president/Provost/CEO of the UAB Health System on behalf of the President as stipulated by the Board of Trustees and the UAB policy entitled “[Execution and Review of Contracts for the University of Alabama at Birmingham](#).”

### **3.16 Extramurally Sponsored Programs**

Members of the faculty are encouraged to participate in extramurally sponsored programs involving scholarship, training, and service projects. A faculty member may participate in such programs as an individual or as a member of a project team.

All applications for extramural support must be processed through the [Office of Sponsored Programs](#).

The Office of Sponsored Programs provides specific information including [extramural support checklist and glossary](#) and [forms](#).

## **4.0 Holidays, Vacation, Sick Time, and Leaves**

### **4.1 Holidays**

UAB recognizes nine designated paid holidays each year as described in [HR Policy 302](#). UAB also recognizes three personal holidays for full-time regular faculty with twelve-month appointments and six personal holidays for full-time regular faculty with nine-month appointments. Personal holidays must be taken between July 1 and June 30 each year, and unused personal holidays will be forfeited. Personal holidays must be taken prior to notice of termination as they will not be paid as terminal leave or during the period of notice. Faculty members are not required to complete their initial six months of employment before being permitted to use personal holidays. For additional information, including holiday time for part-time regular and contingent employees, refer to Benefits and/or HR Policies and Procedures.

#### **4.1.1 Time-off for faculty with nine-month appointments**

Full-time regular faculty with nine-month appointments have time-off during academic breaks pursuant to the terms of their appointments. Academic breaks are defined as the period of May 15 to August 15, Fall Break, the period between fall and spring semesters, and Spring Break. During academic breaks faculty with nine-month appointments are not required to teach, conduct research, be on campus, or maintain communication with students or others at UAB. However, the period may be used for scholarly pursuit. Faculty members with nine-month appointments should expect that during academic breaks some responsibilities might arise that require communication with students or others at UAB or require their presence on campus. Such responsibilities should either be agreed in advance or be relatively infrequent and of an urgent nature.

### **4.2 Vacation Policy**

Vacation credit for full-time regular faculty on twelve-month appointment is earned at the rate of 1.833 days per month for a maximum accrual of 22 working days of vacation per year as described in [HR Policy 301](#). Faculty members on nine-month appointments do not accrue vacation credit. Faculty with nine-month appointments and vacation days accrued prior to August 2013, retain the existing bank of accrued vacation days until used or paid.

A maximum of 44 days' vacation credit may be accumulated by full-time faculty with twelve-month appointments. Once the 44 days' credit has been accumulated, the faculty member may continue to accrue non-reimbursable vacation credit, which will be transferred to sick time credit if not taken during the calendar year of accumulation.

Faculty who are part-time regular employees earn vacation on a prorated basis of percent of FTE. Contingent faculty, which includes all appointments with an FTE < 0.5, do not accrue vacation.

Faculty members are not required to complete their initial six months of employment before being allowed to take accrued vacation.

Vacation records for all faculty who are eligible to accrue vacation are maintained in accordance with university policy for managing and tracking benefit time accruals.

Upon termination, faculty with a nine-month appointment (for accrued vacation prior to August 2013) or a twelve-month appointment may receive pay for unused accrued vacation which does not exceed the maximum of 22 days. The vacation accrual record must be included with the termination documentation and must indicate the number of unused vacation days for which the faculty member is to be paid.

### 4.3 Sick Time

Sick Time benefits and eligibility are described in [HR 303](#). Sick time credit for full-time regular faculty is accrued at the rate of 0.83 days per month. Faculty members on twelve-month appointments accrue 10 working days of sick time per year. Faculty members on nine-month appointments accrue 7.5 working days of sick time during the nine-month period of their regular appointment and may accrue an additional 2.5 days of sick time if they work under a full-time contract with UAB during the summer or, if they work less than a full-time contract with UAB during the summer, will accrue fewer than 2.5 days of sick time but at the same rate of 0.83 days per month. It is the responsibility of each dean to define “full-time contract with UAB during the summer” in writing as it applies to the school, college, or UAB Libraries. (Accrual of summer sick time was initiated in June 1995 for full-time summer employment, and accrual of sick time for part-time summer employment was initiated in June 1996.)

Prior to August 1, 2001, the maximum amount of sick time an employee (including faculty) could accrue was 225 days. Effective August 1, 2001, State Senate Bill 91 removed the 225 days cap on sick leave.

Faculty who are part-time regular employees earn sick time on a prorated basis of percent of FTE. Contingent faculty, which include all appointments with an FTE < 0.5, do not accrue sick time.

Faculty members are not required to complete their initial six months of employment before being allowed to take accrued sick time.

Sick time records for all faculty who are eligible to accrue sick time are maintained in accordance with university policy for managing and tracking benefit time accruals.

Upon separation from UAB, faculty may not receive pay for accumulated sick time. However, faculty members hired prior to January 1, 2013 may be eligible to apply unused accrued sick time toward additional creditable service with the Teachers’ Retirement System of Alabama. Refer to the current guidelines with the [Retirement Systems of Alabama](#) and the [UAB Human Resources Benefits Office](#).

Note: Faculty with nine-month appointments did not accrue sick time prior to September 1993. It is not the intent of the policy change to allow sick time accrual to adversely affect such faculty who remain employed by UAB after September 1993 and who have legitimate needs for sick time. Therefore, when such faculty do not have sufficient sick time accrual to meet the needs of their illness, their chair and/or dean shall make reasonable efforts to assure coverage of the faculty member’s classes. The institution’s obligation to provide such sick time coverage, however, shall not exceed ten days per year of service prior to September 1993. Further, the maximum accrued eligibility pre- and post-September 1993 shall not exceed that defined elsewhere in this section.

### 4.4 Sabbatical Leave

Members of the tenure-earning or tenured faculty may apply for sabbatical leave, as described in [HR 304](#).

#### 4.4.1 Eligibility

For each six academic years of full-time service, as defined by the faculty member’s department and school of primary appointment, a member of the tenure-earning or tenured faculty is eligible to apply for paid sabbatical leave for a period of one-half such year at full pay or one such year at half pay, except as provided below. Sabbatical leave credits may not be accumulated (for example, leave will not be granted for one year at full pay after twelve years of full-time service). Sabbaticals are not awarded automatically after any six-year period of service but are awarded on the basis of individual merit.

#### **4.4.2 Plan of Activities During Sabbatical Leave**

Applicants will be required to submit a plan of activities for the period of leave to consist of professional development, a program of investigation, creative writing or artistry, and the like. Sabbatical leave may be spent on campus or off campus, depending on the type of activity to be undertaken. A faculty member shall not be expected to carry on committee assignments or special administrative functions during a period of leave.

If the individual expects to receive support (e.g., income, allowances for travel, subsistence or accommodation) during the sabbatical period to supplement their sabbatical salary, a [Request for External Activity Approval](#) must be made and a copy of the approval therefor attached to the sabbatical application. The University compensation associated with a sabbatical leave is intended to make it financially possible for a faculty member to carry out their program. Projected outside earnings may be taken into account in the decision to grant sabbatical leave and in setting the percentage of salary to be received from UAB. Total compensation during a sabbatical leave should not normally exceed the faculty member's full-time UAB base salary for the leave period.

#### **4.4.3 Approval of Sabbatical Leave**

Sabbatical leave applications for any part of the school year should be submitted at least six months, and preferably one year, in advance of the start of the leave. Applications are to be submitted to the department chair or directly to the appropriate dean in the absence of departmental organization. Sabbatical leaves are subject to approval by the appropriate dean(s), Provost, and the President. Each unit reserves the right to establish specific guidelines for approval of sabbatical leave. The teaching needs of the unit will be considered. It may be necessary to make special readjustments in sabbatical leave dates when leave is requested by more than one person in a department for the same period of time due to teaching, scholarship, and service obligations of the department.

#### **4.4.4 Accrual of Vacation and Sick Time While on Sabbatical Leave**

Full-time faculty with twelve-month appointments, while on sabbatical leave, accrue vacation and sick time at the regular rate if on one-half year sabbatical leave at full pay and at one-half the regular rate if on a one-year sabbatical leave at half pay. Full-time faculty with nine-month appointments, while on sabbatical leave, accrues sick time per [HR 304](#).

#### **4.4.5 Upon Conclusion of Sabbatical Leave**

Sabbatical leave is granted on the expectation of future academic or scholarly benefits for the institution. Recipients of paid sabbatical leave are expected to return to the full-time service of UAB for at least one academic year and must submit a concise report of the activities during the sabbatical to the dean and department chair. If the faculty member does not return to UAB, the faculty member will be obligated to reimburse the University for salary and benefits received during sabbatical leave. If the faculty member leaves UAB prior to completing a full year of service after sabbatical leave, the faculty member is obligated to proportionally reimburse salary and benefits received during the sabbatical leave for the number of months not served. The obligation may be modified in cases of serious illness, death of the member and in situations deemed by the Provost to be good for the university.

#### **4.5 Other Leaves of Absence**

UAB provides a wide variety of [leave types](#) for eligible employees. Paid leaves, other than sick time ([4.3](#)), holidays ([4.1](#)), and vacation ([4.2](#)), are described in [HR Policy 304](#) and include leave for bereavement, jury duty, witness in court, military leave with pay (21 days or less), sabbatical leave ([4.4](#)), voting, [Family and Medical Leave of Absence](#) (FMLA; see 4.5.2) and paid living donor. Professional leave and external activity leave are described

in [4.5.6](#) and [4.5.7](#) respectively. Unpaid leaves include family and medical leave, educational leave, personal leave, and active military service (greater than 21 days) and are described in [HR Policy 305](#).

#### **4.5.1 Personal Leave**

UAB recognizes that faculty and other employees experience unforeseen events that might require extra time off for personal or professional reasons not covered by the other types of leaves. Personal Leave is a leave of absence without pay, and the reasons might include but are not limited to:

- insufficient accrued sick time ([4.3](#));
- ineligibility for FMLA or additional time required beyond FMLA limits ([4.5.2](#));
- professional development opportunity over an extended time and the faculty member is not eligible for sabbatical leave ([4.4](#)); or
- professional development opportunity that includes temporary employment by a government agency or other organization relevant to the faculty member's field, which would be of benefit to both the faculty member and UAB upon the individual's return to the university.

To be eligible for unpaid Personal Leave of up to one year, a faculty member must have at least one-year continuous service and must exhaust all accrued annual leave and/or, if applicable, all accrued sick leave. Justifiable reason(s) must be provided and approved by the department chair (and/or division director if applicable) and the dean. Only in unusual circumstances, a second year may be granted with approval by the chair, dean, and Provost with appropriate justification. Vacation and sick time do not accrue during a non-paid leave of absence but earned credits may be carried forward. With the approval of the chair, dean, and Provost, a faculty member's tenure clock may be extended by the time they were off for unpaid leave, pursuant to the departmental and school regulation ([2.15.4.5](#)).

Faculty should provide as much advance notice as possible when requesting personal leave. However, in the case of unpaid personal leave for professional development, the faculty member must request the leave not less than three months in advance to minimize interruption of educational and/or scholarly programs.

During unpaid leave of absences, employees may elect to continue their UAB group insurance benefits by making arrangements through the [Human Resources Employee Benefits](#) and paying the total amount of the premiums due. In the case of a personal leave for professional development which includes temporary employment with a government agency or other organization related to the individual's field, the individual may use the group insurance benefits of the outside entity if offered.

Return to UAB service following an approved leave of absence shall be without prejudice to the faculty status of the individual prior to taking leave. Time spent on personal leave of absence shall not be considered as part of an individual's tenure-earning period or for promotion, tenure, or eligibility for sabbatical leave. Full-time tenured faculty on an approved leave of absence may reduce their full-time commitment without relinquishing their tenure. Unauthorized absence from work at the conclusion of the leave period constitutes grounds for termination of employment.

#### **4.5.2 Family and Medical Leave of Absence**

Eligible faculty may take up to 12 work weeks of [Family and Medical Leave of Absence](#) (FMLA) for their own qualifying serious health condition. Eligible faculty may take up to 12 work weeks per year for the birth,



adoption, or foster care placement of a child or to care for a spouse, sponsored adult dependent<sup>†</sup>, parent, child or child of a sponsored adult dependent with a qualifying health condition as stipulated in the Family and Medical Leave Act. Faculty should be placed on FMLA if the time away is a documented health condition that requires the faculty member to be away from their duties for two or more consecutive work weeks. The faculty member must use accrued benefit time (e.g., sick time, vacation time, or personal holidays) before moving to unpaid status during FMLA. For birth or adoption of a child, faculty may be eligible for Paid Parental Leave (Section [4.5.2.2](#)) concurrent with FMLA. See [Human Resources website](#) for additional information.

If leave is foreseeable, early notification of at least 30 days for a planned leave is expected. Management of missed assignments or duties while on FMLA is typically the responsibility of the chair or appropriate supervisor. Upon return from FMLA, faculty are expected to return to regular assignment and compensation, but in some cases, faculty may be eligible for Modified Duties (Section [4.5.5](#)). Faculty should not be required to do additional tasks or buyout effort to make up for time or duties missed while on approved FMLA leave.

#### **4.5.2.1**

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#### **4.5.2.2 Paid Parental Leave**

Eligible faculty employed for at least six months are afforded up to six work weeks of compensated continuous or intermittent [Paid Parental Leave](#), concurrent with FMLA (Section [4.5.2](#)), which may be taken anytime during the first six months following the birth or adoption of a child and does not reduce accrued leave. See [policy](#) for description of timing considerations regarding non-contractual periods for faculty with nine-month appointments.

#### **4.5.3 Military Leave**

Faculty members who are ordered to military duty will receive full pay for a maximum of 21 days per calendar year. For more information, refer to [HR Policy 304](#).

#### **4.5.4 Educational Leave**

A regular faculty member with one year or more of continuous service may request an [educational leave without pay](#) of up to 12 months to pursue education or training that is likely to lead to increased job performance.

A formal, written request for educational leave must be submitted to the employee's department chair at least one month before the beginning date of the leave. Educational leave is subject to approval of the department chair, dean, and provost.

When an educational leave is granted, it is assumed the employee will return to work for the university.

#### **4.5.5 Modified Duties**

The university recognizes the need for all full-time and part-time regular tenured, tenure-earning, and non-tenure-earning faculty members to balance the commitments of family and work. Special family circumstances, for example, birth or adoption of a child, severe illness of an immediate family member or member of the

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<sup>†</sup> **Sponsored Adult Dependent** – a sponsored adult dependent is not a relative, is at least 19 years of age, shares a primary residence and has lived with you not as a renter, boarder, tenant or employee for the last twelve months.

immediate household, or issues of personal health, can cause substantial alterations to one's daily routine, thus creating a need to construct a modified workload and flexible schedule for a period of time.

Since the circumstances may vary widely for faculty members at different stages of their careers, and with different family and workload situations, this policy does not prescribe the exact nature of the accommodation. In many cases, it may be a reduction or elimination of a teaching assignment while the family member continues to meet ongoing, but more flexible research and graduate student supervision obligations. In general, the commitment is to work with a faculty member to devise a modified workload and schedule that enables the faculty member to remain an active and productive member of the department. Because there is no reduction in salary, the faculty member is expected to have a set of full-time responsibilities.

An eligible faculty member is encouraged to speak with their department chair as soon as possible about the need for modified duties in order to ensure the maximum amount of time for planning. A department chair, in conjunction with the dean, is responsible for working with a faculty member to ensure a fair plan for modified duties is implemented. Budgetary constraints and assuring that student or other needs are met must be considered. The policy does not create an entitlement, and business-related reasons may warrant denial of the request. Final decisions about the nature of the modified duties are the responsibility of the department chair in consultation with the dean.

Some individual circumstances cannot be adequately addressed by the provisions of this policy. Family medical leave (including disability), leave without pay, or indefinite reduction in appointment to part-time status may be options that must be considered for longer-term or more demanding needs. This policy is not intended to provide release time from teaching for the purpose of allowing additional time for research. Reduction in teaching assignment for research purposes is the prerogative of the department chair and dean.

Extension of the tenure-earning period is available for those faculty members on tenure-earning appointments who are confronted with extenuating personal or family circumstances, or birth or adoption of a child (Section [2.15.5](#)). The extension may be requested as a complement to a request for modified duties. However, the semester of modified duties does not automatically affect the tenure-earning period.

### **Eligibility:**

Modified duties may be requested by any faculty member in a full-time or part-time regular tenured, tenure-earning, or non-tenure-earning appointment for the purpose of managing family responsibilities or, in exceptional cases, personal health issues not addressed by sick time. The policy applies to eligible faculty upon employment.

### **Guidelines:**

- 1) The period of modified duties will be one semester, or an equivalent amount of time for those faculty members whose responsibilities are not tied directly to teaching on the academic calendar.
- 2) Modification of duties will not result in additional duties during the subsequent semester, e.g., the faculty member should not be asked to make up the released teaching before or after the semester of modified duties. The faculty member cannot be employed at another entity outside of UAB during the period of modified duties, nor can the flexible time be used for extensive professional travel or other professional activities (including internal and external activities) that do not meet the goals of the policy.
- 3) Medical documentation is required if the period of modified duties is requested for a health issue not addressed by sick time.
- 4) A semester of modified duties should be considered IN ADDITION TO, not as a substitute for, sick time and family leave available to those giving birth or adopting during the period of the appointment (i.e., during the



academic year for those on nine-month appointments, or any time for those on twelve-month appointments). There are no work expectations for individuals on approved sick time or family medical leave.

- 5) A faculty member should submit a request for modified duties as early as possible so the department can plan appropriately. The request form is available on the provost's web site under "forms". The plan of proposed activities is developed in consultation with the department chair and dean.
- 6) Requests must be approved by the department chair and dean. If the department chair does not support the request, the reasons for denial shall be provided in writing, and the request will be automatically forwarded to the dean for further review. The decision by the dean will be shared in writing with the faculty member. If the request is denied, the reasons for denial will be provided.
- 7) The Provost will provide a summary of modified duty activity annually to the President.

#### **4.5.6 Professional Leave**

Professional leave, a category of paid leave that does not reduce banked benefit time, is for time spent attending professional development seminars, conferences, Professional Public Service Activities (Section [3.11.1](#)), educational sessions and other similar activities related to one's UAB role (see [HR Policy 128](#)). A department, school, or college may require advance approval or have limitations to use of professional leave. Faculty Professional Leave requests are submitted through UAB's time tracking system.

#### **4.5.7 External Activity Leave**

Leave associated with external activities (Section [3.11.1](#)) is limited to 20 working days per year, as set forth in [HR Policy 128](#), for full-time faculty. This limit does not apply to external activities performed in periods of vacation, university or personal holidays, or designated time-off for faculty with nine-month appointments (Section [4.1](#)). External Activity Leave in excess of 20 days must be charged as time away from UAB as vacation or personal holidays. External Activity Leave less than 20 days does not affect accrued personal leave or vacation time. Leave requests and approvals for external activities are separate processes. Faculty External Activity Leave requests are submitted through UAB's time tracking system.

# **Appendix A - Faculty Grievance Procedures**

## **Notes:**

**“School” refers to any college, school or UAB Libraries in which the grievant has a primary appointment.**

**References to “Provost” may refer to the “Office of the Provost.”**

## **I. Filing a Grievance**

When a faculty member has been unable to obtain a satisfactory solution to a grievance within their school, formal grievance procedures may be initiated by the faculty member by filing a written grievance with the Provost. The written grievance (1) should state, in detail, (a) the facts from which the grievance arose, (b) the process followed within the school to resolve the grievance, and (c) the results of the preliminary attempt to solve the problem and (2) should state a specific request for the relief sought. The written grievance must be submitted to the Provost within thirty calendar days after the faculty member has received a written decision from the dean.

Upon receipt of a written grievance, the Provost will review the grievance and shall determine the most appropriate course of action. If it is determined that the grievance involves the evaluation of the professional qualifications of a faculty member, which are most appropriately made by individuals with expertise in the particular academic discipline, the grievance may be sent back to the school, college, or UAB Libraries for final resolution by the dean in consultation with the appropriate faculty committee and chair. In all other cases, the Provost may attempt to resolve the grievance to the mutual satisfaction of the party(ies) involved. If such a resolution is not reached within thirty calendar days, the grievant may request that a Grievance Committee be convened, and the Provost shall proceed to do so. Irrespective of this request, the Provost, on their own initiative, may establish a Grievance Committee within the thirty-day period if the Provost thinks no resolution will occur via the mediation. The Grievance Committee shall be established by the Provost from the UAB Grievance and Termination Hearing Panel.

## **II. The Grievance Committee**

The Grievance Committee shall be appointed by the Provost and shall consist of the next three members of the UAB Grievance and Termination Hearing Panel who do not hold primary appointments in the department, school, college, or UAB Libraries of primary appointment of the grievant. Any appointed member who believes that they cannot render an impartial decision concerning the grievance because of personal involvement with any of the party(ies) or with the school or the department and/or division involved shall so state to the Provost within ten calendar days of appointment to the Grievance Committee. The Provost may strike or excuse any individual who has a demonstrable conflict of interest or bias. The Provost will appoint the next panel member in line for service to fill any vacancies.

When three appointments have been obtained, the Provost shall notify the grievant. The grievant shall be allowed to challenge the service by any appointee who, in the opinion of the grievant, cannot consider the grievance impartially. Should the grievant elect to exercise this right, the grievant shall notify the Provost within ten calendar days of the Provost’s notification; and, if the Provost concurs, the challenged member shall be excused. The Provost will then appoint the next panel member in line for service. This process will continue until a Grievance Committee of three has been established. Neither the Provost nor the grievant may unilaterally strike more than three members except in cases of documented extenuating circumstances.

The Provost shall appoint a staff member from the Office of the Provost to serve as secretary to the Grievance Committee.

### **III. Participant Responsibilities**

#### **A. Responsibilities of the Grievance Committee**

The responsibilities of the Grievance Committee are (1) to investigate the complaint as presented to the Grievance Committee by the grievant by obtaining appropriate and necessary facts in the dispute and (2) to come to a conclusion as to whether the grievant had good cause to file a grievance. It is the responsibility of the grievant to establish the facts that constitute the basis of their grievance, a just cause for action, and their entitlement to relief. The Grievance Committee may request that the grievant resubmit the grievance with more specificity if, in the opinion of the Grievance Committee, the nature of the grievance is not clearly defined. The Grievance Committee has the right to exclude any portion of the grievance, which, in its opinion, is more appropriately addressed by another mechanism in the *UAB Faculty Handbook and Policies*. The Grievance Committee may use any available sources of information deemed by the committee to be probative and relevant to the grievance.

In situations in which the grievance contends discriminatory treatment, the Grievance Committee must come to a conclusion as to whether the policies, procedures, and standards of the involved administrative unit have been applied in a discriminatory manner.

In grievances related to terms of faculty appointment such as promotion, tenure, or non-reappointment, the role of the Grievance Committee is to determine whether fair and consistent procedures have been employed, not whether a person is worthy of promotion, tenure, or re-appointment. During the hearing of a grievance, it sometimes may become necessary to examine the qualifications of a grievant in relation to those of other academic personnel in the grievant's department, but the Grievance Committee should refrain from making the grievance procedure a review and assessment of the professional qualifications of the grievant as it is not within the scope of any Grievance Committee to make an evaluation of the professional qualifications of the grievant. Such judgment is the responsibility of the appropriate peer group, administrator, and consultants within the concerned department, school, college, or UAB Libraries. Requests for reconsideration of the judgment by a dean that a faculty member should be denied reappointment, promotion, or tenure is handled by the Appeals Process.

#### **B. Responsibilities of the Grievant**

It is the responsibility of the grievant (1) to state their grievance with specificity, identifying any accused party(ies) involved, (2) to present all the facts through the presentation of witnesses and documents having relevance to the grievance, and (3) to prove the validity of the grievance.

#### **C. Responsibility of the Party(ies) against whom the grievance is filed [Accused Party(ies)]**

It is the responsibility of the accused party(ies) (1) to supply to the Grievance Committee relevant UAB, school, or departmental documents to which they have access, including documents requested by the grievant but not in their possession and those requested by the Grievance Committee and (2) to explain their actions through presentation of witnesses and documents having relevance to the grievance.

### **IV. Right to Advisor**

The grievant and each accused party may have an advisor present when appearing before the Grievance Committee. The advisors do not participate in the proceedings of the hearing. The grievant and the accused party(ies) shall speak on their own behalf. At all times, the Committee through its chair must maintain control of the meeting.

## **V. Grievance Committee Procedure**

### **A. Preparation for Grievance Hearing**

The first meeting of the Grievance Committee shall be called by the Provost. At the first meeting, the Grievance Committee shall elect its chair and shall be charged with its duties by the Provost.

The Committee shall meet to review available written documentation from the grievant and accused party(ies). The Committee shall request from the grievant and the accused party(ies) a list of proposed witnesses including the information that each witness will provide along with the relevance of each witness' testimony to the facts of the grievance. UAB will not be responsible for covering travel expenses of witnesses.

The Grievance Committee shall meet with the grievant and charged party(ies) to (1) identify and request documents it deems necessary and relevant to the grievance, (2) determine which witnesses will be called, (3) identify additional witnesses whose testimony should be taken, (4) identify the questions to be raised to the witnesses, and (5) set the date(s) and time(s) for the grievance meeting(s). It will be the responsibility of the grievant and the accused party(ies) to produce their own witnesses, if they are called by the Grievance Committee.

The chair of the Grievance Committee shall notify the grievant, all accused parties, and all called witnesses as to the time(s), date(s), and location(s) of the grievance meetings.

### **B. The Grievance Hearing**

The chair of the Grievance Committee shall preside at the grievance hearing and shall provide rulings relative to procedural issues that are in dispute during the hearing. Any ruling by the chair may be appealed by any party to the whole committee, which shall have, by majority vote, final authority in the matter.

The Grievance hearing shall be confidential, and only those directly involved shall be included in the grievance hearing.

The recommended meeting procedure is as follows:

- 1) Opening statement by the grievant
- 2) Opening statement by each accused party
- 3) Presentation of relevant documents by grievant
- 4) Presentation of relevant documents by each accused party
- 5) Questioning of witnesses -- Witnesses shall be called in an order determined by the Chair of the Grievance Committee, and questioning shall be conducted exclusively by the members of the Grievance Committee. (The Grievance Committee shall allow each party to submit, in writing, questions which the party would like to have asked of a witness; however, the Grievance Committee will not be required to ask those specific questions.)
- 6) Closing statement by each accused party
- 7) Closing statement by the grievant.

The Grievance Committee's assigned secretary shall maintain the verbatim record of the hearing for the convenience and use of the Committee. The assigned secretary will maintain the confidentiality of the hearing materials so as to protect all party(ies) involved. The verbatim record will be maintained by the Office of the Provost for three years following conclusion of the grievance proceeding.

### **C. The Grievance Committee report**

Within 30 calendar days after the hearing is concluded, the Grievance Committee shall submit to the Provost a written report summarizing (1) the relevant evidence that has been presented and heard, (2) the conclusions and recommendations it has reached based only on the evidence provided and presented by all parties, and (3) the rationale for its conclusions and recommendations. This report shall be sent to the Provost, with copies to the grievant, the accused parties, and the members of the Grievance Committee.

### **VI. Action by Provost**

Based on the conclusions and recommendations of the Grievance Committee, the Provost may pursue additional action to resolve the grievance. Within fifteen working days of receiving the Grievance Committee's report, the Provost shall provide a written memorandum to the grievant, with copies to the accused parties and the members of the Grievance Committee, describing the Provost's efforts to resolve this matter and their recommendations.

### **VII. Final Action**

If the Provost is unable to resolve the grievance within fifteen working days after receiving the Grievance Committee's report, the grievant may appeal to the UAB President. The Provost shall then forward to the President the committee report along with their recommendations. The President shall act within fifteen working days after receiving these materials and, in so doing, shall give considerable weight to the report of the Grievance Committee. The President shall provide a written memorandum to the grievant, with copies to the accused party(ies), the Provost, and the members of the Grievance Committee. Should the President's action be inconsistent with the report of the Grievance Committee, the President shall state their reasons in the memorandum. The decision of the President is final.

## **Appendix B - Review of Recommendations for Termination for Cause of a Tenured Faculty Member or of a Faculty Member Whose Term of Appointment Has Not Expired**

Note: For purposes of this appendix, the terms “parties” or “party” refer to persons directly involved in the termination or hearing, normally the faculty member and the administration.

### **I. Initiation of Proceedings**

Formal proceedings for termination for cause are initiated by the Provost’s sending to the faculty member, by certified mail, a letter containing a statement of the charge(s) against the faculty member and a statement of intent to terminate based on those charges. Although the faculty member may wish to appeal the termination as a “grievance,” once the Provost has decided to terminate, the termination proceeding shall supersede, and shall make void, any grievance hearing on the same issue. The letter from the Provost to the faculty member being terminated shall include the following information:

- 1) A statement of intent to terminate that details the specific charge(s) against the faculty member, written with sufficient detail to enable the charged faculty member to show factual error if it exists
- 2) A statement that the faculty member has a right to a hearing before an impartial faculty committee (see Section IV below)
- 3) A tentative date for the hearing, at least thirty calendar days after receipt of the statement of intent to terminate
- 4) Names of witnesses who may be called by the administration, a brief statement of the nature of the testimony of each witness, and identification of other evidence to be offered in support of the charge(s)
- 5) A statement that hearing procedures are contained in the *Faculty Handbook and Policies*.

### **II. Response**

Within 30 calendar days after receipt of the letter of Intent to Terminate from the Provost, the charged faculty member must respond to the Provost, in writing, indicating (1) a response to the charge(s) stated in the Provost’s letter, (2) a decision about whether they elect to have a formal hearing of the charge(s) before a faculty committee, (3) the names of witnesses who may be called on behalf of the charged faculty member, (4) a brief statement of the nature of the testimony of each witness, and (5) a summary of other evidence believed to have relevance to the charge(s) to be heard.

If the faculty member does not respond within 30 calendar days as indicated above or elects not to have a formal hearing of the charge(s) before a faculty committee, the Provost may proceed with a termination recommendation to the President. The decision of the President is final.

### **III. Suspension**

Suspension of the faculty member during the proceedings is justified only if continuance of the faculty member is believed likely to result in (a) risk of harm to the faculty member or others; (b) an immediate health hazard; (c) endangerment of federal funds or equipment; or (d) risk of immediate danger to the interests of person(s) making allegations, the individuals who are the subject of the allegations, or to others. Suspension can be effected only by the Provost, and salary shall continue during the suspension unless legal considerations prohibit.

## **IV. The Hearing Committee**

The initial roster for the Hearing Committee shall be appointed by the Provost within thirty days of the faculty member's request for a hearing. The initial roster shall consist of the next seven faculty members of the UAB Grievance and Termination Hearing Panel who do not hold primary appointments in the department, school, college, or UAB Libraries of the charged faculty member.

Faculty members who are asked to serve on a Hearing Committee must recuse themselves if they believe that they cannot, for any reason, fairly and impartially consider the facts of the case to be heard. The Provost may strike or excuse any individual who has a demonstrable conflict of interest or bias. Within seven days of receiving the list of committee members, the faculty member affected must request the removal of two members from a final group of seven (without having to show cause) so that the final Hearing Committee consists of the remaining five members. Individuals who are recused, excused, or struck will be replaced by the next in line on the roster. The final Hearing Committee will consist of five faculty members. If the five-member Hearing Committee is unable to carry out its duties in a timely fashion, the Provost must impanel another committee as specified above.

The five-member Hearing Committee shall elect its own chair. Deans and department chairs will be expected to ensure that Hearing Committee members from their units are allowed sufficient time to participate in the hearing process. The Provost shall designate a faculty member to serve as a non-voting facilitator to the committee.

The Hearing Committee shall be responsible for the conduct of the hearing and shall establish and enforce procedures to be used at the hearing.

## **V. Procedure**

The Hearing Committee shall consider only the formal charge(s), as stated by the Provost to the faculty member in the letter of "Intent to Terminate." The administration shall have the burden of offering to the Hearing Committee such witnesses and/or other evidence that supports the termination for cause.

### **A. Pre-hearing**

The Hearing Committee may hold pre-hearing meetings with or without the party(ies) present to (1) simplify the issues; (2) determine the rules of procedure and evidence to be used; (3) provide for the exchange and review of documentary or other information; (4) determine the witnesses to be called; and (5) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious. Both sides must provide the committee with any evidence that is requested and available.

### **B. Hearing**

The Hearing Committee hearing shall be governed by the following rules and regulations:

- 1) The Hearing Committee shall set the day and time of the hearing and all continuances of the hearing. The hearing session(s) shall be private and confidential and only those directly involved shall be included in the hearing(s).
- 2) A verbatim record of the hearing shall be made by the facilitator of the Hearing Committee who shall make copies available to the administration and to the faculty member, upon request, once the hearing is completed. The Hearing Committee may use the verbatim record during preparation of its report. The records shall be open for inspection by all parties.



- 3) During the proceedings, the charged faculty member and the administration may each have an advisor present, but the advisors may not take an active role in the proceedings unless the Hearing Committee believes that such participation is necessary for a fair hearing and requests an advisor to take an active role. The active participation of the advisor shall be limited to that permitted by the Hearing Committee.
- 4) At the request of either party or the Hearing Committee, a representative of an educational association of which the charged faculty member is a member shall be permitted to attend the hearing(s) as an observer.
- 5) The burden of proof that adequate cause for termination exists rests with the institution and must be supported by the evidence presented.
- 6) The faculty member shall be afforded reasonable time to obtain necessary witnesses and documents or other evidence requested by the committee. The parties shall cooperate with the Hearing Committee in making available documentary and other evidence. It is the responsibility of each party to secure the participation of the witnesses for its side. The administration shall ensure that witnesses from the faculty and administrative units are afforded appropriate time for these duties. UAB will not be responsible for covering travel expenses of witnesses.
- 7) During the hearing, the Hearing Committee shall determine the order of proof, shall conduct the questioning of witnesses, and, if necessary, shall request and secure evidence deemed pertinent by the committee. At all times, the committee, through its chair, shall be in charge of the hearing and is responsible for maintaining order.
- 8) The Provost or their designee shall be responsible for responding to questions that arise concerning the administration's charges against the faculty member.
- 9) The charged faculty member and the administration shall have, through established committee procedures, the right to question all witnesses. In cases in which a witness cannot or will not appear but in which the Hearing Committee determines that the interests of fairness require the witness' statement, the Hearing Committee shall identify the witness(es), shall disclose the statement, and, if possible, shall question the witness(es) through methods other than having them appear in person.
- 10) The Hearing Committee will not be bound by rules of evidence and may admit any evidence which is of probative value in determining the issues involved. A reasonable effort shall be made to obtain the most reliable evidence available. If deemed necessary, the Hearing Committee may call additional witnesses.
- 11) The Hearing Committee may grant adjournments to either party to enable investigation of any "new" evidence that is presented.
- 12) The Hearing Committee, in its discretion, may allow brief opening and closing statements by both the administration and the charged faculty member.
- 13) The decision of the Hearing Committee shall be based on the record of the Hearing as a whole.
- 14) Except for such simple announcements as may be required (for example, the time of the hearing), all deliberations of, and information provided to, the Hearing Committee shall be considered confidential.

## **VI. Committee Decision**

After the hearing is concluded, the Hearing Committee shall meet to reach a decision. Within thirty calendar days after the hearing is concluded, the Hearing Committee must report in writing to the Provost whether or not the charge(s) were supported by the evidence in the record and shall recommend termination or retention. Within fifteen working days of receiving the Hearing Committee's report, the Provost must forward to the President the committee's recommendation along with the committee's report. The report from the committee shall remain confidential, except as required by law.

## **VII. President's Decision**

The President may consider the Provost's recommendation, evidence that was presented during the hearing, and the recommendation of the committee. The President must notify the faculty member, with copies

to the Provost and the members of the Hearing Committee, of their decision within fifteen working days of receiving the committee's report and recommendation as forwarded by the Provost. If the President does not implement the recommendations of the Hearing Committee, the reasons for not doing so must be included in the letter of notification. The decision of the President is final.

## **Appendix C - Review of Recommendations for Termination of a Faculty Member Due to a Bona Fide Financial Exigency, Bona Fide Financial Crisis, or Academic Program/Unit Closure**

Note: For purposes of this appendix, the terms “parties” or “party” refer to persons directly involved in the termination or hearing, normally the faculty member and the administration.

### **I. Initiation of Proceedings**

Formal proceedings for termination of a tenured faculty member due to a bona fide financial exigency, a bona fide financial crisis, or an academic program/unit closure, as defined in this *Faculty Handbook and Policies*, are initiated by the Provost’s sending to the faculty member, by certified mail, a letter containing a statement that the faculty member’s appointment will be terminated due to one of these three causes. Tenured faculty appointments may be terminated with one year’s notice. Non-tenured faculty appointments may be terminated prior to the end of a previously agreed-upon period of appointment with one year’s notice or with the notice required for non-reappointment as defined in this *Faculty Handbook and Policies*, whichever is less. Although the faculty member may wish to appeal the termination as a “grievance,” once the Provost has decided to terminate, the termination proceeding shall supersede, and shall make void, any grievance hearing on the same issue. The letter from the Provost to the faculty member being terminated shall include the following information:

- 1) A statement of the specific reasons for termination and a summary of the facts on which the termination decision was based
- 2) A statement that the faculty member has a right to a hearing before an impartial faculty committee (see Section IV below)
- 3) A statement that hearing procedures are contained in the *Faculty Handbook and Policies*

### **II. Response**

A tenured faculty member proposed for termination must respond in writing to the Provost within thirty calendar days after receipt of the certified letter of Intent to Terminate from the Provost indicating whether the faculty member wishes to have a Hearing Committee review the decision. The response shall include (1) evidence indicating that the termination proposed in response to the bona fide financial exigency, bona fide financial crisis, or academic program/unit closure is not in keeping with the intent of the *Faculty Handbook and Policies* and (2) the names of witnesses who may be called on behalf of the faculty member to testify at a hearing, along with a brief statement of the nature and relevance of their testimony.

### **III. The Hearing Committee**

The initial roster for the Hearing Committee shall be appointed by the Provost within thirty days of the faculty member’s request for a hearing. The initial roster shall consist of the next seven faculty members of the UAB Grievance and Termination Hearing Panel who do not hold primary appointments in the department, school, college, or UAB Libraries of primary appointment of the faculty member being recommended for termination.

Faculty members who are asked to serve on a Hearing Committee must recuse themselves if they believe that they cannot, for any reasons, fairly and impartially consider the facts of the case to be heard. The Provost may strike any individual who has a demonstrable conflict of interest or bias. Within seven days of receiving the list of committee members, the faculty member affected must request the removal of two members from a final group of seven (without having to show cause) so that the final Hearing Committee consists of the remaining five

members. Individuals who are recused, excused, or struck will be replaced by the next in line on the roster. The final Hearing Committee will consist of five faculty members. If the five-member Hearing Committee is unable to carry out its duties in a timely fashion, the Provost must impanel another committee as specified above.

The five-member Hearing Committee shall elect its own chair. Deans and department chairs will be expected to ensure that Hearing Committee members from their units are allowed sufficient time to participate in the hearing process. The Provost shall designate a faculty member to serve as a non-voting facilitator to the committee.

The Hearing Committee shall be responsible for the conduct of the hearing and shall establish and enforce procedures to be used at the hearing.

#### **IV. Procedure**

While the administration must demonstrate the need for the proposed termination, the existence of the bona fide financial exigency, bona fide financial crisis, or academic program/unit closure shall not be open to review. The Hearing Committee shall consider all evidence presented and the testimony of witnesses that are called and shall, if deemed necessary, request further information from either party or additional witnesses.

##### **A. Pre-hearing**

The Hearing Committee may hold pre-hearing meetings with or without the party(ies) present to (1) simplify the issues; (2) determine the rules of procedure and evidence to be used; (3) provide for the exchange and review of documentary or other information; (4) determine the witnesses to be called; and (5) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious. Both sides must provide the committee with any evidence that is requested and available.

##### **B. Hearing**

The Hearing Committee shall be governed by the following rules and policies:

- 1) The Hearing Committee shall set the day and time of the hearing and all continuances of the hearing. The hearing session(s) shall be private and confidential, and only those directly involved shall be included in the hearings.
- 2) A verbatim record of the hearing shall be made by the facilitator of the Hearing Committee who must make copies available to the administration and to the faculty member, upon request, once the hearing has been completed. The Hearing Committee may use the verbatim record during preparation of its report. The records shall be open for inspection by all parties.
- 3) During the proceedings, the faculty member proposed for termination and the administration may each have an advisor present, but the advisors may not take an active role in the proceedings unless the Hearing Committee believes that such participation is necessary for a fair hearing and requests an advisor to take an active role. The active participation of the advisor shall be limited to that permitted by the Hearing Committee.
- 4) At the request of either party or the Hearing Committee, a representative of an educational association of which the faculty member is a member shall be permitted to attend the hearing(s) as an observer.
- 5) The administration bears the burden of demonstrating that termination of the faculty member is reasonable and is necessitated by a bona fide financial exigency, a bona fide financial crisis, or an academic program/unit closure and that the proposal for termination was made in accordance with procedures described.
- 6) The faculty member shall be afforded reasonable time to obtain necessary witnesses and documents or other evidence. The parties shall cooperate with the Hearing Committee in making available documentary and other evidence requested by the committee. It is the responsibility of each party to secure the participation of the

witnesses for its side. The administration shall ensure that witnesses from the faculty and administrative units are afforded appropriate time for these duties. UAB will not be responsible for covering travel expenses of witnesses.

- 7) During the hearings, the Hearing Committee shall determine the order of proof, shall conduct the questioning of witnesses, and, if necessary, shall request and secure evidence deemed pertinent by the committee. At all times, the committee, through its chair, shall be in charge of the hearing and is responsible for maintaining order.
- 8) The Provost or their designee shall be responsible for responding to questions that arise concerning the administration's proposed termination of the faculty member.
- 9) The faculty member proposed for termination and the administration shall have, through established committee procedures, the right to question all witnesses. In cases in which a witness cannot or will not appear but in which the Hearing Committee determines that the interests of fairness require the witness' statement, the Hearing Committee shall identify the witness(es), shall disclose the statement, and, if possible, shall question the witness(es) through methods other than having them appear in person.
- 10) The Hearing Committee will not be bound by rules of evidence and may admit any evidence which is of probative value in determining the issues involved. A reasonable effort shall be made to obtain the most reliable evidence available. If deemed necessary, the Hearing Committee may call additional witnesses.
- 11) The Hearing Committee may grant adjournments to either party to enable investigation of any "new" evidence that is presented.
- 12) The Hearing Committee, in its discretion, may allow brief opening and closing statements by both the administration and the faculty member.
- 13) The decision of the Hearing Committee shall be based on the record of the hearing as a whole.
- 14) Except for such simple announcements as may be required (for example, the time of the hearing), all deliberations of, and information provided to, the Hearing Committee shall be considered confidential.

## **V. Committee Decision**

After the hearing is concluded, the Hearing Committee shall meet to reach a decision. Within thirty days after the hearing is concluded, the Hearing Committee must report in writing to the Provost whether or not termination of the faculty member is reasonable and is necessitated by a bona fide Financial exigency, a bona fide financial crisis, or an academic program/unit closure and whether proper procedure was followed as described in the *Faculty Handbook and Policies*. Within fifteen working days of receiving the Hearing Committee's report, the Provost must forward to the President the committee's recommendation along with the committee's report. This report shall remain confidential, except as required by law.

## **VI. The President's Decision**

The President may consider the Provost's recommendation, evidence that was presented during the hearing, and the recommendation of the committee. The President must notify the faculty member, with copies to the Provost and the members of the Hearing Committee, of their decision within fifteen working days of receiving the committee's report and recommendation as forwarded by the Provost. If the President does not implement the recommendations of the Hearing Committee, the reasons for not doing so must be included in the letter of notification. The decision of the President is final.

# Appendix D - Recommended Guidelines for Annual Faculty Evaluation

## I. Introduction

The UAB *Faculty Handbook and Policies* requires that all “[regular](#)” faculty, regardless of rank and tenure status, be evaluated annually so that their professional development and productivity can be measured and enhanced and the goals of these faculty members, their units, and the university can be achieved (Section [2.14](#)). There are also requirements for the annual evaluation of “temporary full-time” and “[contingent](#)” faculty who are instructors of record (Sections [2.9](#) and [2.14](#)). The UAB Faculty Handbook broadly defines the policies regarding the annual faculty evaluation process. However, critical details that must be determined at the school, college, department, and division level are obviously not included. This document is not a policy, but a set of guidelines to help identify those details and facilitate the development of annual faculty evaluation policies appropriately customized to the unit’s needs. Effective evaluations are fair and unbiased and should include shared trust and mutual respect; respect for academic freedom (Section [3.2](#)); constructive feedback for continued growth of professional development; and assurance that quality and accuracy is maintained at every level of the evaluation process.

## II. Who

- 1) Each faculty member is responsible for timely submission of requested materials and active participation in the evaluation process.
- 2) The academic unit defines who (dean, chair, or designee with supervisory authority) is responsible for discussing/reviewing the evaluation with the faculty member and providing a written summary of their appraisal to the faculty member who was reviewed.

## III. Schedule

- 1) UAB Faculty Handbook requires that each faculty member receive an annual evaluation.
- 2) A schedule must be developed to allow sufficient time for budgeting and implementation of salary adjustments for the following fiscal year.
- 3) The unit is responsible for determining dates for the review and should minimally publish the dates for the following:
  - a. Evaluator request for information,
  - b. Submission deadline for information from faculty member,
  - c. Reasonable timeframe for the review meeting between the evaluator and faculty member,
  - d. Completed, signed evaluations are due in dean’s (or other) office.

## IV. Format

- 1) The unit defines the evaluation presentation (electronic form, Faculty Profiles, teaching portfolios, other)
- 2) A comprehensive evaluation should include:
  - a. Reporting of accomplishments,
  - b. Consideration of areas for improvement,
  - c. A comparison of performance versus previous years,
  - d. Both self-appraisal (if required) and appraisal by the evaluator,
  - e. Discussion of obstacles and opportunities affecting attainment of goals,
  - f. Goal setting for following year.

## V. Content/Assessment

- 1) The Faculty Handbook indicates that decisions for faculty promotion and tenure should be based on the effectiveness in teaching, scholarly activities, and service (Section [2.10](#) and [Appendix E](#)). The unit may add effectiveness in clinical activities in their evaluations.
- 2) The units should establish appropriate metrics in each area and how each activity will be objectively evaluated. The following examples, not meant to be exhaustive, describe possible metrics and other considerations for assessment. These examples may be equally applied to assessing readiness for promotion and/or award of tenure as well as annual performance review.
  - a. Effectiveness in Teaching: As described in Section [2.10.1](#), measures beyond the student evaluation of instruction (IDEA or other evaluation methods) should be considered in the area of teaching effectiveness(e.g., peer review, teaching portfolios, etc.). Student (resident, fellow, trainee, junior faculty, etc.) mentoring, curriculum/course development, instructional program development, and assessment/accreditation activities should count either as teaching or service and their relative weight determined in the overall assessment. Use of [Faculty Profiles](#), which populates the [UAB Scholars](#) site, are a possible means of documenting teaching activity.
  - b. Effectiveness in Scholarly Activity: Assessment of the diverse forms of scholarly activities follows. The relative weight of each will vary by discipline, departmental priorities, and expectations outlined for the faculty member initially in a letter of offer and subsequently as determined in annual evaluation. Use of [Faculty Profiles](#), which populates the [UAB Scholars](#) site, are a possible means of documenting scholarly activity.
    - i. Publication: Evaluation criteria of accomplishments for books, articles, manuscripts, and monographs in regard to the effectiveness of scholarly activity should be determined. Determination of the weight of other publications, such as educational work on traditional or digital media, reviews, conference proceedings/abstracts, and/or technical reports or other creative content should consider both the relative weight of peer-reviewed vs. non-peer reviewed material and potential impact (societal, discipline, etc.). Metrics for assessment of publications may include peer-reviewed status, journal impact factor, citation indices, author rank order (e.g., first author), etc. Additional guidance for metrics may be found in the [UAB Libraries website](#) as well as [alternative scholarly metrics](#) for non-traditional publications and related activities.
    - ii. Presentation: Evaluation criteria for scholarly presentations, both synchronous or asynchronous, may be determined based on both internal and external review of the prestige of the event/venue, audience (local, regional, national, international), keynote status, impact, etc.
    - iii. Extramural Funding and [Sponsored Programs](#): Evaluation criteria of accomplishments with extramural funding, grants, contracts, etc. should be determined. Metrics vary by funding source and type, but common elements include number and/or type of grants/contracts submitted, success rate, funding awarded, and various returns on investment (teaching, research, or service outcomes; impact on the institution, discipline, or community; etc.).
    - iv. Intellectual Property and other Innovation & Entrepreneurial (I&E) activities: Evaluation criteria should be defined and weighted as appropriate for the faculty appointment. Common metrics may regard the quality, quantity, and/or impact of invention disclosures, patents, copyrights, small business grants, start-up company founding/funding including SBIR-STTR activities, licenses to external companies, financial return brought to university, etc.
    - v. Visual and Performing Arts: Evaluation criteria of activities of faculty members in the visual and performing arts (exhibitions, concert, performances etc.) should be defined specific to the discipline. Assessment varies greatly but common elements include measures of creativity, quality, contextualization, audience (local, regional, national, international), impact,



contribution to the discipline, and/or critical communication. These elements reflect peer review and dissemination.

- c. Effectiveness in Service: Service covers a wide range of activities, both intramural and extramural (Section [3.11](#)) and may be vital to achieving UAB's Mission. Clinical services may also be included. The unit should determine which of these activities should be included in the evaluation of service effectiveness, and their relative weight. Evidence of the level of participation, leadership, and impact are common metric elements. Use of [Blazer Pulse](#) are a possible means to documenting faculty service activities.
  - d. Effectiveness in Administration: Evaluation criteria of administrative responsibilities may include achievement of defined goals, contributions to the institution, or management of resources. Evaluation of feedback from those impacted by the administrative duty is encouraged and, in some cases, required (Section [1.2.2.1.3](#)). Unlike annual performance assessment, promotion and tenure assessments should be primarily based on academic merit, because administrative duties are entirely discretionary with the appointing administrator (See Section [2.5.3](#)). However, where an individual being assessed has had administrative responsibilities during a period of assessment, it is appropriate to evaluate their effectiveness in carrying out those duties and to consider that evaluation in the overall assessment.
  - e. Effectiveness in Institutional Commitment and Engagement: Evaluation criteria should recognize engagement in departmental, unit, and institutional goals as well as positive professional collegial relationships beneficial to the workplace environment through documentable activity and compliance to Standards of Behavior (Section [3.6](#)). Effort associated in support of UAB [Shared Values](#), should be considered.
- 3) The process of appraisal, goal-setting, feedback, and salary adjustment are established by the unit. For example:
- a. Determination if the supervisor's appraisal is given to the faculty member in advance of the face-to-face meeting,
  - b. Criteria to be followed in setting the goals for the following period (typically a year) and if distribution of effort is incorporated into goal-setting,
  - c. Verbal feedback is an important part of the evaluation process (Section [2.14](#)). The unit should determine if an alternative to a face-to-face meeting, like virtual meetings (Internet conference, messaging, chat, phone, etc.), is allowed,
  - d. Written documentation of the main points of the evaluation should be shared with the faculty member and archived. This document should include goals for the next year and signatures by the evaluator and the faculty member,
  - e. Determination of the procedure to be followed to offer the opportunity to the faculty member to include written comments/feedbacks to the evaluation, which are added to their unit's record,
  - f. Criteria used to link annual evaluation with merit salary adjustments.

## Appendix E - FAQ: Best Practices for Promotion & Tenure

This appendix is a compilation of best practices and suggestions for individuals seeking promotion and tenure at UAB and are summarized as a Frequently Asked Questions (FAQ) document.

### Disclaimer

*The “best practices” in this Appendix shall not be viewed as the “only allowable” practices, or as encouragement in a particular situation to diverge from the terms of the UAB Faculty Handbook and Policies. Promotion and tenure practices are inherently discipline-specific and individual-specific. This Appendix is designed to be helpful in providing illustrative guidance across a variety of situations, but the UAB Faculty Handbook and Policies and any other relevant official UAB policies supersede this Appendix in all cases. Further, this Appendix is not an official interpretation of such handbook or policies, nor are the suggestions in this Appendix official policies of UAB.*

### 1) What timelines should schools/college and departments consider for tenure and/or promotion relative to UAB Faculty Handbook Section 2.15.4?

A tenure-earning period is defined as the duration of a tenure-earning appointment. This includes years to build academic merit and at least a year to submit for tenure review, and if tenure is not awarded, a terminal year prior to appointment termination.

- For full-time faculty and depending on the academic unit, the maximum length of the tenure-earning period may be from 7 to 10 years. Part-time tenure-earning faculty should review timelines in [2.15.4.4](#).
- The start date of a tenure-earning period begins on the October 1<sup>st</sup> following the date of appointment.
- Initiation of promotion and/or tenure cycle typically begins in November and concludes with approval by the Provost and announcement by the following August.
- If tenure has not been awarded prior to the final submission year, the applicant for the tenure-earning appointment must submit application for tenure or for a tenure extension ([2.15.5](#)) in the final submission year. A denial of tenure will serve as notification of the intent to terminate employment one calendar-year from date of the notification. Only under very exceptional circumstances will the award of tenure be considered in the terminal year (Section [2.15.4](#)).
- A favorable tenure-review decision and Provost approval results in appointment to a tenured faculty position.

### Best practice Benchmarks for Tenure-earning Periods

Activity	7-yr Maximum	10-yr Maximum	Notes
Years to build academic merit	Years 1-5	Years 1-8	Initial appointments to tenure track position is typically for 2 years. The applicant may apply for tenure during the period noted in the table, unless otherwise specified within the academic unit handbook.
Final submission year	Year 6	Year 9	<p>Normally the final year for tenure review</p> <ul style="list-style-type: none"> <li>• If tenure has not be previously earned, must apply for tenure or request extension (Section <a href="#">2.15.4</a>).</li> </ul>

Terminal year	Year 7	Year 10	Provided to applicants who are considered for but not awarded tenure during the final submission year.
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**2) Can a faculty member apply for promotion and/or tenure more than once?**

The UAB Faculty Handbook allows for this to occur for promotion. Tenure may only be applied for once (Section [2.15.4](#)). However, it is advisable not to apply for promotion and/or tenure unless the applicant's completed package is likely to be successful. Applicants should carefully consider pre-tenure recommendations made to them by P&T committees in the department or school/college as well as the department chair and others.

Note that a school/college or departmental handbook may restrict the number of times an individual can apply for promotion and the year(s) in which application for promotion and/or tenure can first be submitted.

**3) Can a faculty member apply for tenure review early?**

Yes (Section [2.15.4](#)), unless otherwise specified within a school/college handbook. Seek advice of mentors and work with your chair to assure readiness.

**4) Should promotion and tenure be sought separately or at the same time?**

There is no conclusive recommendation in the UAB Faculty Handbook. The answer to this question varies greatly based on individual circumstances, time of service requirements for rank (Sections [2.6.2-2.6.4](#)), and specific guidelines within a school/college or department. Tenure can only be awarded to faculty who is at, or simultaneous with promotion to, the rank of Associate Professor or higher (Section [2.15.3](#)). Tenure-earning Assistant Professors often simultaneously seek promotion with the award of tenure. However, a tenure-earning Assistant Professor may seek promotion prior to application for the award of tenure but may not apply for tenure without promotion (Section [2.15.3](#)).

**5) What if the university and unit guidelines differ?**

If in conflict, the *UAB Faculty Handbook and Policies* takes precedence over school/college handbooks and these take precedence over departmental handbooks. Note, policies in a provost-approved school or dean approved departmental handbook may be more, but not less, restrictive than the *UAB Faculty Handbook and Policies*.

Preparing While Building Academic Merit

**6) In addition to my chair, what other strategies are recommended for individualized guidance?**

Create a mentorship committee of trusted advisors/mentors, if the department does not provide one.

- Seek individuals with a positive outlook to gain *useful* perspectives.
- Senior faculty with significant academic experiences may provide valuable guidance.
- Current or past members of promotion and tenure committees may provide insight into how a department's/school's promotion and/or tenure committees assess the quality of evidence in P&T packages.
- Faculty who recently went through the process are good resources for what worked or may not have worked.

**7) No one is telling me what I should be doing?**

You must be your own advocate and accept responsibility for your own career development.

- In your efforts, balance collaborations against demonstrating your independent value and contributions.
- Talk to your chair or dean about forming a committee. They can offer good suggestions on how to go about it, if they have not already assigned you one.
- Don't wait to be told what to do, *be proactive*.

#### **8) What should I document?**

Check with your unit's handbooks, but in general your P&T package must represent the sum of your work and achievements. *You cannot submit documentation that you do not have.* Therefore, thoroughly document activities in teaching, service, scholarly activity, and administration. The presentation, quality, and completeness of documentation is paramount.

- Begin documentation (a portfolio) on day 1 of your academic career. In fact, you should have documented previous achievements already.
- Some faculty activities may be non-traditional, without specific guidelines, and care must be taken to properly document them. If in doubt, talk with your chair or trusted senior faculty about how to document these activities. Also, remember that your letter of offer details your duties. Be sure to rigorously document how you are meeting these duties.
- Document professional development, e.g., evidence of development in teaching, library service, committee membership, administrative activities, research, journal/grant reviewing, etc.

#### **9) My efforts in administration, teaching, or service inhibit my scholarly or research portfolio development.**

Fostering a strong, supportive relationship with your chair is advantageous for your career development. Assigned effort may fulfill departmental needs but may not be optimal for your promotion and/or tenure. Therefore, work with your chair and/or mentoring committee if your assigned effort distribution, your goals for career advancement, and the requirements for promotion and tenure are not aligned.

- Trusted mentors may provide additional guidance.

### **Beginning the Process**

#### **10) I am ready to go up for promotion and/or tenure. Is there a recommended first step?**

A best practice when applying for promotion and/or tenure is to provide a letter to your department chair to proactively *make a case that you are ready for promotion and/or tenure*. You should do this by summarizing your achievements. Rather than digging through a lengthy CV and other documents, your chair can utilize an accurate, concise summary as a readily-available source for the chair's letter of support or when the chair solicits external reviewers. Also, you should be reviewed by a mentoring or promotions and tenure committee annually. Be ready to talk informally to them and the chair about how your progress matches with your tenure goals.

A well-crafted summary gives you an opportunity to shape and highlight your accomplishments and successes. Do your own SWOT (strengths, weaknesses, opportunities, and threats) analysis of where you are in progress toward promotion and tenure, as defined by your assigned duties and departmental/school handbook. It is useful to have a trusted advisor/mentor review the materials with you prior to submission to the chair.

### **Application Content**

#### **11) Can I be creative or customize a promotion and/or tenure application?**

It is necessary to exactly follow the prescribed guidelines in the university and unit handbooks as well as the Provost's [instructions](#) thoroughly. Do not add unrequested items and definitely do not miss inclusion of a required item.

In some departments, e.g., Music or Art History, the artifacts that you present may be unique to that discipline. Talk to your chair and mentoring group about how to best present these. Also, talk to these individuals at the beginning of and throughout your career at UAB to consider how these unique artifacts should be gathered and presented.

#### **12) Should I have a strategy or style in mind when developing my documentation?**

Assure all documentation of the promotion and/or tenure application is accurate, honest, and factual. Any error, embellishment, deception, or unsubstantiated material is detrimental and may result in significant adverse consequences.

- In crafting any document for the promotion and/or tenure application, consider an institutional perspective of your value to the university mission. For example, how does this activity, goal, or effort fit with effectiveness in teaching, service, or scholarly activity?
- The purpose of summarizing past achievements is not to document a historical record but to give a basis for prospective future performance. Promotion and tenure is not a reward for what you have done, but rather an investment in what the institution hopes you will do.
- Provide context in your documents to aid a promotion and tenure committee if specific terminology in your field may convey an incorrect conclusion or lead to confusion.
- Remember, the basis of promotion and tenure is your national prominence/excellence in your assigned duty areas and your ability to document that.

#### **13) How do I solicit letters from external reviewers?**

You don't. Your Chair will contact external reviewers; however, you will likely be able to suggest potential reviewers to the chair. Do not include individuals with whom you have a close personal (non-professional) relationship. External letters from peer/aspirant institutions are preferable. The Chair will determine the number of letters to solicit, in line with handbook requirements (Section [2.10](#)), and the Chair will use those that best represent your achievements. The faculty member should never see the letters.

#### **14) What do I need to know about the quality of the documentation?**

Assure all documentation of the promotion and/or tenure application is accurate, honest, and factual. Any error, embellishment, deception, or unsubstantiated material is detrimental and may result in significant adverse consequences.

- Assure all documents are aligned without contradiction including dates, references, etc.
- Assure documents are located in the correct sections of the package application.
- Spelling, grammar, format, and style should be thoroughly vetted.
- Consider asking a trusted mentor to review your documents to avoid errors or omissions.

#### **15) Are years of service sufficient in earning promotion and/or tenure?**

Years of teaching, service, or other activities are not in and of themselves enough to earn promotion and/or tenure. Rather, you must document the effectiveness, sustained contributions, and high-quality professional activities to document your meeting the requirements outlined in your school/college/department handbooks.

#### **16) Are there specific recommendations for documenting teaching effort?**

- Scholarship in teaching is highly desired to demonstrate contributions to the academic world.

- Documentation of teaching effectiveness should be collected in an ongoing portfolio. Collect documentation of teaching activity comprehensively from the beginning of the academic appointment. The portfolio can later be organized and refined to carefully select items appropriate for inclusion in your curriculum vitae, personal statement, etc.
- Utilize resources such as the [UAB Center for Teaching and Learning](#), which provides professional and support programs to encourage teaching effectiveness and innovation.

#### 17) Are there specific recommendations for documenting service effort?

- Strive for opportunities to develop scholarship within academic service to enhance your credentials.
- Effectiveness of service effort should be documented. If serving on a committee or group, seek to document individual contributions when possible. Do this as an ongoing activity, and perhaps ask committee chairs to send you an annual letter documenting the service.
- When considering the balance between internal and external service, consider that higher ranks require recognition at the national and international levels (Sections [2.6.3](#) and [2.6.4](#)). See below.
- For purposes of promotion and/or tenure, acting as course director is not considered as service but rather a part of teaching. However, the creation of a new course of studies may be considered service.
- Non-professional, non-academic, or other service activities unrelated to your academic duties should generally not be included in documentation of your service activity. However, these may be effectively highlighted in a personal statement, and these should likely be used if they appreciably enhance the University or department.

#### 18) Are there specific recommendations for documenting scholarly effort?

- Scholarly activities include any endeavor that increase the body of knowledge relative to a discipline or promotes effective dissemination of such knowledge. While research is the most common scholarly activity for UAB faculty, other forms of scholarly activity exist.
- The overall quality of scholarly activities is more important than the total quantity.
- National and international recognition is important.

#### 19) How is scholarly activity defined?

Specific criteria for scholarly activity are defined within the faculty member's academic unit handbook and, if applicable, departmental handbook. These criteria may be more, but not less, specific ([2.11](#)) than the University-level guidance ([2.10.2](#)). UAB broadly considers scholarly activity as creative work that is both peer-reviewed and disseminated. This scholarship may exist in many forms, incorporating activities of teaching and service, as is often exemplified in academia through modifications of the Boyer model (1990).

Scholarship Domain	Elements reflected in the activity to be considered scholarly	Example Activities
Discovery	Development or advancement of new knowledge, technologies, or methods and is most often associated with, but not limited to, original research that enhances society.	<ul style="list-style-type: none"> <li>• Peer-reviewed publications</li> <li>• Creation of funded infrastructure for future studies</li> <li>• Producing/performing/presenting creative work</li> <li>• New approaches to knowledge generation or analysis of information</li> </ul>
Integration	Interpretation of knowledge for new insight through synthesis or connections across disciplines constructing new understanding or approaches to address societal challenges.	<ul style="list-style-type: none"> <li>• Interdisciplinary literature reviews, textbooks, or research</li> <li>• Collaboration for course design/delivery or interdisciplinary projects</li> <li>• Communicate and disseminate knowledge to assist in understanding or solving complex real-world problems</li> </ul>

Application and Engagement	Service applying knowledge beyond the university to the larger community (local, regional, national, global) with application of disciplinary expertise that is shared or evaluated by peers addressing societal and professional problems.	<ul style="list-style-type: none"> <li>• Leadership in professional organizations</li> <li>• Leadership and active participation in community engagement efforts that highlight the impact of UAB in Central Alabama and beyond (e.g., Habitat for Humanity, community urban garden developments, programs to elevate the performance of K-12 students, etc.)</li> <li>• Consultant service to industry or government</li> <li>• Incorporating research or problem-based learning to apply theory, confront complexities, and collaborate with external stakeholders</li> <li>• Translating knowledge into usable products and services</li> <li>• Academic advising / research mentoring</li> </ul>
Teaching and Learning	Systematic study of teaching and learning processes being made publicly available to reach students, scholars, or practitioners for optimal learning as well as opportunity for application and evaluation by others.	<ul style="list-style-type: none"> <li>• Advancing pedagogy through classroom research</li> <li>• Stimulating active learning and fostering critical thinking in learners</li> <li>• Developing instructional materials</li> <li>• Designing program-level assessments</li> </ul>

This table of scholarly domains yields a broad range of academic activities across disciplines possible for UAB faculty. Some domains combine to yield further scholarly opportunity, such as the combination of *Discovery* and *Integration* resulting in translational research and engineering, or the combination of *Integration* and *Engagement* leading to collaborative practice models. These activities all involve creative, innovative, artistic, communicated, or peer-validated intellectual work that is a valued contribution in fulfilling the University’s mission.

The academic merit of scholarly activity must uphold the standards of rigor expected within the professoriate specific to the faculty member’s discipline. Such work in its diverse forms must be

- based on a high level of professional expertise;
- give evidence of originality;
- documented and validated as through peer review, critique or validation by evidence of societal or disciplinary usage/benefit; or
- communicated in appropriate ways so as to demonstrate significant current or future impact for the public and/or for the discipline itself.

Especially when non-traditional activities are used to document scholarship, it is important to relate the activity to the elements associated with the particular scholarship domain demonstrating aspects of peer-review and dissemination. For example, service as a leader in a professional organization in and of itself does not demonstrate *scholarship of application and engagement* without evidence of the elements defining that scholarship.

## 20) What is meant by “national recognition” for rank appointment or promotion?

Sections [2.6.3](#) and [2.6.4](#) of the *UAB Faculty Handbook and Policies* describe the ranks of Associate Professor and Professor. The university-level guidance is broad to allow specific application within individual units. Both sections [2.6.3](#) and [2.6.4](#) require “nationally recognized” activities for faculty promoted to these ranks. Similar to the promotion and tenure criteria in section [2.10](#), each unit defines the specific requirements to meet the criteria as appropriate to their disciplines. These criteria should be published within their unit’s faculty handbook, or in some instances, if appropriate, the departmental



handbooks or promotion and tenure guidelines. If faculty tracks are used within the unit (e.g., clinical non-tenure-earning track, tenure-earning research-emphasis track, etc.), the unit's promotion criteria may differ for each track. As always, the unit's criteria may be more restrictive but not less restrictive than the university guidance.

Activities or accomplishments to meet the promotion criteria for "national recognition" or any other element may differ significantly between units. For example, "national recognition" for some units may include committee service within national (or international) organizations and/or recognition through external letters of recommendation from outside of Alabama. In other units, "national recognition" may require presentations, publications, research funding and service or other specifications appropriate to that discipline. While examples to meet criteria within a unit's handbook are generally helpful, the FPPC recommends that all guidelines include cautionary language to clearly avoid the perception that the examples are exclusionary.

**21) If a negative decision is rendered by the chair/dean, is there a recourse?**

An appeal can be made to the dean/Provost, if an application is turned down at the unit/dean level, respectively (Section [2.17](#)). However, you should first understand the reasons resulting in a negative decision before considering future actions. Reviewing this with your trusted advisor/mentor, and the chair/dean may be very useful. Waiting another year may be prudent, especially if you apply in the early years of your appointment.

**22) How should innovation and entrepreneurial (I&E) activities be used as criteria for promotion and/or tenure?**

UAB's strategic mission encourages community engagement partnerships that advance economic prosperity and societal impact. Faculty innovation<sup>†</sup> and entrepreneurial<sup>‡</sup> (I&E) activities, including development of intellectual properties (Section [3.9](#)), are considered to be within normal academic undertakings, consistent with University policy, and can be used to develop academic merit. The following examples, not meant to be exhaustive, illustrate documentable academic effort associated with I&E activities.

- I&E scholarly activities could include the development of intellectual property such as patents, copyrights (including software), trademarks, tangible property (e.g., cell lines, works of art), trade secrets, inventions, or novel products or procedures.
- I&E teaching activities could include creation and/or incorporation of entrepreneurial curricular content; mentoring of students in commercialization, innovation, and entrepreneurial service; or connecting entrepreneurial subject matter to community education.
- I&E service activities could include interactions with industry, government, non-profit organizations, foundations, service activities associated with community business incubators, small business promotion activities, or startup/spinout entities founded on specific University intellectual property.

Merit associated with I&E activities are held to the same rigorous standards as any other academic merit. Additionally, scholarship may be developed from the teaching and service I&E activities that demonstrate societal impact, solve complex real-world problems, or collaboratively cross disciplinary lines to drive economic development or community improvement. These may demonstrate *scholarship of teaching and learning*, *scholarship of application and engagement*, or *scholarship of integration*.

Assessment of effectiveness for promotion and/or award of tenure are similar to guidance shown for content/assessment in Appendix D for annual evaluation.

For the purposes of this Handbook, the following definitions are employed.

† Innovation - the introduction of new or significantly improved products (goods or services), processes, organizational methods, and marketing methods in internal business practices or the marketplace. Source: [National Science Foundation](#).

‡ Entrepreneurial - having to do with the creation and development of economic ventures. Source: [Merriam-Webster](#).

## **23) How should activities in support of UAB Shared Values be used as criteria for promotion and/or tenure?**

UAB strongly supports [Shared Values](#) in all aspects of the UAB Enterprise. Activities associated with or in support of the [Shared Values](#) are not seen as separate from normal academic work and can be included in an accounting of academic merit. These activities should be construed broadly and acknowledge innovative ideas from dissimilar teams, cultures, and sources. The following provide some examples, that are not meant to be exhaustive, of such documentable academic effort.

- Teaching activities may be reflected through inclusive teaching practices and learning environments with wide-ranging perspectives, multi-cultural content, pedagogy, study abroad, implementation principles of universal design, global perspectives, or curriculum/program development.
- Academic advising or mentoring activities of students (current or prospective) or faculty who have faced challenging social, economic, educational, cultural or other life circumstances.
- Engaging in scholarly activities (grants, publications, presentations, policy work, creative activities, or innovations) that explore the impact of wide-ranging perspectives and life experiences that improve the quality life for all people across diverse populations or address health disparities, or achieve health equity.
- Service effort related to activities, such as outreach, recruitment, and retention of faculty, staff and students with wide-ranging life experiences and perspectives.
- Administrative efforts in support of recruitment/retention of faculty/staff/teams with wide-ranging life experiences and perspectives, as well as awards, achievements, or recognitions for related work.

Merit associated with such activities is held to the same rigorous standards as any other academic merit. For example, faculty effort to support an inclusive classroom culture is consistent with UAB [Shared Values](#), but such effort does not necessarily provide considerable academic merit for promotion and/or tenure. However, considerable academic merit for such inclusive activities could be built through development of inclusive classrooms protocols for other instructors or universities, professional presentations of the pedagogical protocols at national meetings, publication of inclusive pedagogical protocols in scholarly literature appropriate for the faculty member's discipline, development of training and outcome measures for other instructors, or studies in educational outcomes. These examples demonstrate academic merit through *scholarship of teaching and learning*, *scholarship of application and engagement*, and/or *scholarship of discovery*.

## **24) How is effectiveness in teaching, scholarly activity, and service assessed?**

Prediction of how submission package for promotion and/or award of tenure will be understood or assessed by a review committee, chair, dean or Provost is uncertain. However, the completeness and quality of documentation are essential. The metrics used for annual performance review ([Appendix D](#), Section V) provide useful insight on how these areas could be assessed.

## **25) Can a decision of the Dean/Provost separate the promotion and tenure decisions?**

Yes, the P&T committee, chair, or dean may request separation of the two and the Provost may determine that promotion should be awarded, but tenure is not yet warranted. If the Provost makes such a decision, the applicant may apply for tenure in subsequent years, in accordance with the requirements of tenure-earning timelines described above.

## **Selected References**

Boyer EB. *Scholarship Reconsidered: Priorities of the Professoriate*. The Carnegie Foundation for the Advancement of Teaching. New York, NY. 1990. pp. 15-25.

Burnham, Joy J, et al. "Top 10 Strategies for Preparing the Annual Tenure and Promotion Dossier." *Faculty Focus - Higher Ed Teaching & Learning*, 26 Apr. 2016, [www.facultyfocus.com/articles/faculty-evaluation/top-10-strategies-for-preparing-the-annual-tenure-and-promotion-dossier/](http://www.facultyfocus.com/articles/faculty-evaluation/top-10-strategies-for-preparing-the-annual-tenure-and-promotion-dossier/).

Franz, Nancy K. "Tips for Constructing a Promotion and Tenure Dossier That Documents Engaged Scholarship Endeavors." *Journal of Higher Education Outreach and Engagement*, vol. 15, no. 3, 2011, p. 15. [https://lib.dr.iastate.edu/edu\\_pubs/1/](https://lib.dr.iastate.edu/edu_pubs/1/)

## Appendix F – FAQ: Conflict Resolution

### Disclaimer

*The “best practices” in this Appendix shall not be viewed as the “only allowable” practices, or as encouragement in a particular situation to diverge from the terms of the UAB Faculty Handbook and Policies. This FAQ is designed to be helpful in providing illustrative guidance across a variety of situations, but the UAB Faculty Handbook and Policies and any other relevant official UAB policies supersede this FAQ in all cases. Further, this FAQ is not an official interpretation of such handbook or policies, nor are the suggestions in this FAQ official policies of UAB.*

In most cases, differences and issues that faculty have can be resolved through several mechanisms that include discussions with departmental and school/college faculty affairs committees, chairs and deans and their designee, and the UAB Human Resources department and interactions with Student Services and the Graduate Dean's Office. The grievance policy allows a faculty member to address important issues that cannot be resolved through these lower level mechanisms and should be reserved for use in otherwise unresolvable situations. The FAQ and flow chart below provide guidance as to when it is appropriate to use each remediation/intervention mechanism.

### 1) What is the purpose of this FAQ?

The purpose of this FAQ (frequently asked questions) document is to provide guidance to anticipated questions regarding resolution of work-related conflicts. Members of our university community inevitably will have disagreements, both inside and outside of the exchange of criticism and ideas that are a part of academic life. This FAQ, developed by the UAB Faculty Policies and Procedures Committee (FPPC), is applicable only to UAB faculty members. The FAQ is not official policy or procedure but is intended as a helpful guide to direct faculty to such policies.

### 2) Where is guidance for conflict resolution?

Usually, the first step in resolving conflict is to determine whether the behavior of another individual violates a standard of behavior set by UAB for its community members. There are a variety of policies describing the behavior expected of and toward faculty members, including Section 3.6 of the [UAB Faculty Handbook and Policies](#) and the [UAB Enterprise Code of Conduct](#). If a faculty member believes that another individual has violated a standard of conduct in any such policy, then they should first seek to resolve the dispute informally with the other individual. If resolution is not possible, then the faculty member should pursue the matter with their Chair. In some, but not all cases, a policy may have a specific conflict resolution mechanism. As described below, for example, the UAB Faculty Handbook and Policies, defines certain complaints as “grievances” and provides a specific mechanism for reaching resolution of those complaints. Additional guidance may be sought with the [UAB Ombuds Office](#), which is a neutral, independent, confidential resource available to all UAB faculty. This office does not act in any official capacity on behalf of either side in a conflict.

### 3) What is a grievance?

The dictionary definition of a “grievance” is a formal expression of a cause of distress, such as an unsatisfactory working condition, felt to afford reason for complaint or resistance.<sup>‡</sup> At UAB, grievance has been more narrowly defined in Section 2.19 of the Faculty Handbook as “an action or decision that has materially and/or adversely affected their professional faculty capacity at UAB and appears to have

<sup>‡</sup> “Grievance.” Merriam-Webster, [www.merriam-webster.com/dictionary/grievance](http://www.merriam-webster.com/dictionary/grievance). Accessed 02/16/2019.

been reached unfairly, improperly, or in violation of University policy.” A grievance typically concerns a faculty member in conflict with another individual acting on behalf of the institution. Procedures to execute a grievance are outlined in Section [2.19.1](#) and [Appendix A](#). The *UAB Faculty Handbook and Policies* requires that schools and colleges have their own policies for handling grievances at the unit level. As described elsewhere in this FAQ, there may be other policies that provide for mechanisms for resolution of certain disputes, such as reappointment, promotion, or the granting of tenure.

#### **4) What is not a grievance?**

There are various actions, decisions, or conflicts that are excluded from being grievances at UAB. Section [2.19](#) outlines the specific instances which are not considered grievances within UAB policy, and the decision tree in Figure 1 applies criteria in [2.19](#) to determine if the action or decision is a grievance. The remainder of the FAQ addresses each type of action or decision with a process of conflict resolution, both those that are based on a “grievance” and those that are not based on a grievance but nonetheless have a resolution mechanism provided, such as an “appeal” of a denial of reappointment, promotion, or granting of tenure. UAB encourages informal resolution of all conflicts, whether or not considered “grievances.”

#### **5) What if the action or decision involved reappointment, promotion, or tenure?**

Section [2.17](#) of the Faculty Handbook describes the appeal procedures for a negative decision of promotion, tenure, or reappointment. Promotion is described in Section [2.16](#), while tenure is described in Section [2.15](#). Reappointment and non-reappointment of non-tenured faculty are located in Section [2.13](#) while termination of employment of tenured faculty are addressed in Section [2.18](#).

#### **6) What if the action or decision involved a judgment of professional qualifications of a faculty member?**

Assessment of professional qualifications are usually determined within an academic unit by faculty peers or unit administration. If the action or decision clearly breached ethical standards of the university, then it may be grievable. A faculty member may also seek advice from the [Ombuds Office](#).

#### **7) What if the action or decision involved termination?**

In most cases, termination of the employment of non-tenured faculty occurs by non-renewal of an appointment, for which notice is required in accordance with Section [2.13.3](#) of the *UAB Faculty Handbook and Policies*. Terminations for non-tenured faculty prior to the end of an appointment are covered in Section [2.13.5](#). Terminations of the employment of tenured faculty are covered by Section [2.18](#) and [Appendices B](#) and [C](#). Any request for reconsideration of a tenure or promotion must be addressed through these mechanisms.

#### **8) What if the action or decision involved discrimination or harassment?**

Several types of harassment or discrimination are considered through other policies, and therefore, they are not “grievances” under this FAQ’s definition of “grievance.” The excluded actions include the following:

Section [3.8](#) lists University policies addressing **illegal discrimination including sexual harassment**. As provided in the definition of “grievance” in Section [2.19](#) of the *UAB Faculty Handbook and Policies*, resolution of allegations of discrimination covered by such policies are handled pursuant to these policies and not as “grievances” in the Faculty Handbook.

In the [Equal Opportunity and Discriminatory Harassment Policy](#), both Sections B and C within the Policy are relevant to accusations. In the [Title IX Policy](#), reporting requirements are described in Section VI-B and the appropriate procedure for investigation is described in VII. However, appeals are addressed in Section VI of [Title IX Procedures for the Resolution of Sexual Harassment Complaints](#) and in Section IV-A of the [Procedures for the Resolution of Sex Discrimination Complaints \(non-harassment\)](#).

**9) What if the action or decision involved research misconduct?**

Ethical conduct in research and scholarly activity are covered in Section [3.5](#) of the *UAB Faculty Handbook and Policies*. Written appeals are described in item #8 of the description of investigation procedures within the [Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities](#).

**10) What if the action or decision involved dissatisfaction with existing policies, procedures, or guidelines?**

Disagreement with existing policies and procedures can and should be addressed within a department, school, college, or library or university. The [UAB Faculty Senate](#) may be helpful in seeking a long-term solution. Advice can also be sought from the [Ombuds Office](#). Faculty initiated concerns have been frequent motivators for change and improvement within UAB.

Note, if a policy, procedure, or guideline has been misapplied or otherwise unfairly employed, that action or decision may be grievable as described in Sections [2.19](#), [2.19.1](#), and [Appendix A](#) of the Faculty Handbook.

**11) What if the action or decision involved decisions made by administrators in the ordinary course of their administration?**

Administrative decisions made in the routine course of UAB business are not grievable unless the decision, or a history of decisions, have been reached unfairly, improperly, or as a misapplication of UAB policy or procedure, as provided in Section [2.19](#) of the *Faculty Handbook and Policies*. Examples of decisions that may not be grieved include assignment of effort in teaching, research, or service, allocation of resources or space. In cases of disagreement with such decisions, faculty should pursue resolution as informally and directly as possible within their department, school, college, or library. Advice can also be sought from the [Ombuds Office](#). However, if the decisions were made on the basis of documented incorrect actions by an administrator and that administrator does not address the concerns, the decision may be grievable.

**12) What if the action or decision involved negative evaluations of an individual faculty member's professional work?**

A negative assessment of professional work is not “grievable,” unless the decision has been reached improperly through a misapplication of departmental, school, libraries, or UAB policy or procedure. If the assessment was part of an annual faculty evaluation, the appeals procedure outlined in Section [2.14.3](#) of the *UAB Faculty Handbook and Policies* is applicable. Note that a negative evaluation that constitutes violations of academic freedom (Section [3.2](#)) may be grievable, as provided in Section [2.19](#) of the Faculty Handbook. Advice can also be sought from the [Ombuds Office](#).

**13) What if a conflict is between faculty members?**

The grievance process is typically applicable when a faculty member has issue with an administration of the institution. If the other faculty member is acting in an administrative capacity relative to an action or decision resulting in conflict, then a grievance may be applicable. Faculty interactions are guided by the [UAB Enterprise Code of Conduct](#). Otherwise, consider conflict resolution within the unit or obtaining advice from the [Ombuds Office](#).

**14) What if the action or decision involved dissatisfaction with a salary or other compensation decision?**

Unless policy has been applied unfairly or improperly, or a series of decisions that constitute an inappropriate or unfair application of policy, the grievance procedures do not apply. See Section [2.19](#) of the *UAB Faculty Handbook and Policies*. Therefore, compensation concerns should be addressed within the unit. Advice can also be obtained by contacting the [Ombuds Office](#).

**15) What if the action or decision involved decisions made by UAB public safety officers with respect to a faculty member?**

Actions by the UAB Police and related safety officials within their capacity of their normal course of duty are not subject to the grievance policy, as provided in Section [2.19](#) of the *UAB Faculty Handbook and Policies*. Conflict resolution may involve or require personal legal consultation.

**16) What if the action or decision is perceived to be retaliation for reporting or raising concerns of wrongful conduct?**

Faculty are expected to report wrongful conduct within the UAB Enterprise and are protected from retaliation by the [Duty to Report and Non-retaliation Policy](#). Retaliation in any form is prohibited at UAB and is inconsistent with the [UAB Enterprise Code of Conduct](#). Concerns of retaliation for reporting or raising concerns of wrongful conduct may be brought to unit administration or by contacting the [UAB Office of Compliance & Risk Assurance](#) at 205-996-6540 or the [UAB Ethics Hotline](#) (these can initially be made anonymously). Specific non-retaliation provisions and procedures associated with discrimination, harassment, and/or Title IX violations are described in FAQ#8.



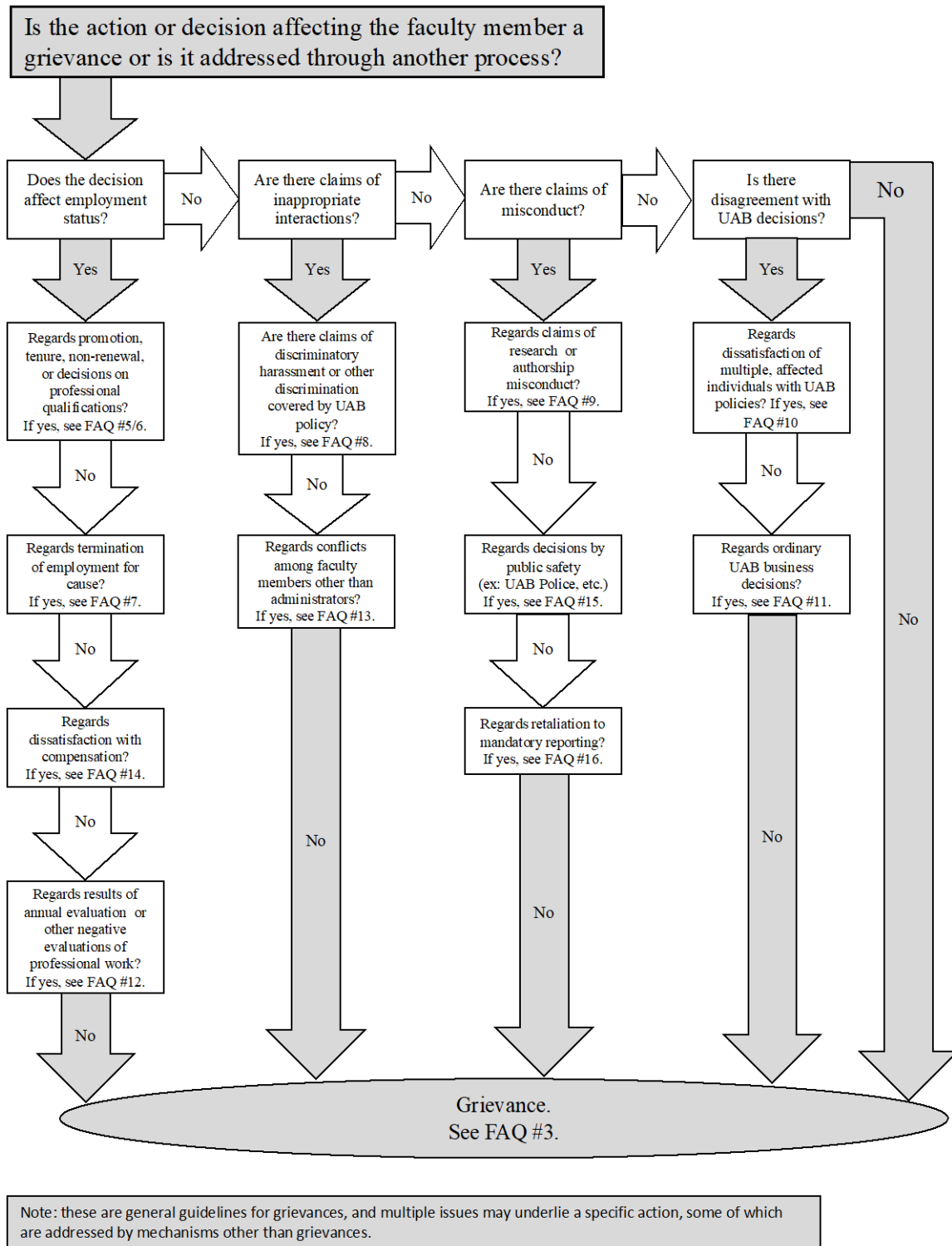


Figure 1. Decision tree for conflict resolution.

## Appendix G – Guidance for UAB Internal Activities, External Activities, and Professional Public Service Activities

This Appendix is designed to provide illustrative guidance to determine appropriate activity approvals and related leave requests. The *UAB Faculty Handbook and Policies* and any other relevant official UAB policies supersede this Appendix in all cases.<sup>§</sup>

### Activity Types:

In managing conflicts of interest (COI) and conflicts of commitment (COC), determination of the correct activity type in the following Table 1 is essential to know if disclosure is required.

**Table 1. Type of Employee Activity**

Internal to UAB		External to UAB
An institutional responsibility	Internal Activity (IA)	Professional Public Service Activity (PPSA) UAB-Related Activity Performed Outside of UAB
Performed for a non-UAB entity	n/a	External Activity (EA)

[Institutional responsibilities](#) are activities, duties, and responsibilities performed by an employee in the course of UAB employment and may include, but are not limited to, scholarship, research, research consultation, teaching, professional practice, administration, contracting or procurement responsibilities, or professional public service activities.

[Internal Activities \(IA\)](#) are activities sponsored by UAB above and beyond normal institutional responsibilities with additional compensation for a limited period of time (e.g., providing UAB continuing education) and performed within UAB Enterprise,<sup>\*\*</sup> Birmingham VA Medical Center, or Children’s of Alabama.

[External Activities \(EA\)](#) are activities that draw upon the knowledge, skill, or abilities an employee uses to fulfill their institutional responsibilities at the UAB Enterprise *but are performed for an entity outside the UAB Enterprise*, whether or not for compensation. The use of UAB funds and resources is restricted.<sup>††</sup> Activity performed outside of UAB is typically an EA unless the activity meets criteria for a professional public service activity (PPSA).

[Professional Public Service Activities \(PPSA\)](#) are activities that are performed outside the UAB Enterprise and are considered part of an employee’s institutional responsibilities, whether or not separately compensated. Only specific activities provided to specific groups (Table 2) qualify as a PPSA. Domestic and [international travel](#) may be paid by UAB with approval, if not otherwise paid for or reimbursed by an outside organization.

<sup>§</sup> See the [UAB Enterprise Conflict of Interest and Conflict of Commitment Policy](#), [Section 3.11 of UAB Faculty Handbook and Procedures](#), [UAB Enterprise Code of Conduct](#), and [HR 128](#) for originating policy.

<sup>\*\*</sup> UAB affiliated entities, known collectively as UAB Enterprise, are described in *Section 1* of the [UAB Enterprise Conflict of Interest and Conflict of Commitment Policy](#). Activities for UAB Enterprise may be IAs or PPSAs.

<sup>††</sup> See *Section 5-A* of the [UAB Enterprise Conflict of Interest and Conflict of Commitment Policy](#) and the [Policy Concerning Use of UAB Resources by External Entities](#).

[UAB-Related Activities Performed Outside of UAB](#) are activities for purposes of conducting UAB business, fulfilling institutional responsibilities, or participating in UAB Education Abroad. This is uncommon for most faculty. No compensation is associated with the activity, but domestic and [international travel](#) are typically paid by UAB with approval.

#### Activities outside of UAB:

Specific examples are provided in Table 2 to determine if an activity qualifies as a PPSA. Most activities performed outside of UAB are classified as External Activities.

**Table 2. Differentiation of Professional Public Service Activities from External Activities**

If the activity is:	It is a PPSA if provided to:	It is an EA if:
<ul style="list-style-type: none"> <li>Professional studies (includes attendance of scientific/professional meetings)</li> <li>Facilitating seminar, lecturing, presenting, performing, or speaking</li> <li>Service/participation on advisory committees and/or scientific advisory boards</li> <li>Service/participation on review panels including manuscript review,<sup>‡‡</sup> grant/contract review, and/or academic program review</li> <li>Service/participation on boards of directors, as an officer, or any other role with fiduciary responsibilities<sup>§§</sup></li> </ul>	<ul style="list-style-type: none"> <li>U.S. federal, state, or local government agencies</li> <li>Institutions of higher education, academic teaching hospitals, medical centers or research institutes that are affiliated with an institution of higher education<sup>***</sup></li> <li>UAB Enterprise affiliated entities<sup>**</sup></li> <li>Nonprofit/ philanthropic entities</li> <li>Professional societies, or professional associations, that are not affiliates of or affiliated with industry or other for profit entities</li> <li>Civic groups</li> </ul>	Provided to anyone else
External employment including moonlighting and/or <a href="#">locum tenens</a>	n/a	All
Consulting for any type of organization	n/a	All
Establishing and/or supporting a start-up company	n/a	All
Serving as an expert witness	n/a	All
Academic appointment, title, or other affiliation with another institution of higher education, domestic or foreign	n/a	All

#### Disclosure and Leave:

Activity approvals and leave requests are separate processes, and both must be approved in advance through the appropriate supervisory path. IAs and EAs must always be disclosed, but only certain PPSAs require disclosure

<sup>‡‡</sup> Although a publisher (e.g., journal, book, etc.) may be commercial entity, manuscript review qualifies as a PPSA if the content is solely determined by a nonprofit/philanthropic entity, professional society, or professional association.

<sup>§§</sup> Activity is excluded as a PPSA if fiduciary responsibilities for the external entity are in conflict of interest with UAB.

<sup>\*\*\*</sup> Activity is excluded as a PPSA if affiliated to the external entity by academic appointment (e.g., adjunct, visiting, etc.).

as shown in Table 3 below. If multiple activities exist within a single travel event (e.g., combination of PPSAs, EAs, and/or personal vacation in a single domestic or foreign travel event), then each activity must be disclosed with an appropriate leave request comprising the entire duration of the travel. Table 3 provides the appropriate disclosure and request for leave by type of activity being performed.

**Table 3. Disclosures and Leave Requests by Activity Type**

Activity Type	COI Disclosure ( <a href="#">UAB Forms</a> ):	Leave Request ( <a href="#">Campus Time &amp; Attendance</a> ):
Internal Activity	<a href="#">Request for UAB Internal Activity Approval</a>	None, unless required by unit or department <sup>†††</sup>
UAB-related Activity Performed Outside UAB	Domestic: No disclosure required International: <a href="#">UAB-Related International Travel Registration</a>	<a href="#">Time Off Request – Leave type: Professional Leave</a>
External Activity	<a href="#">Request for External Activity Approval</a>	<a href="#">Time Off Request – Leave type: External Activity</a> <sup>‡‡‡</sup>
PPSA	Domestic: No disclosure required unless investigator with reporting requirements. <sup>§§§</sup> International: if travel, <a href="#">UAB-Related International Travel Registration</a> .	<a href="#">Time Off Request – Leave type: Professional Leave</a>

Activity types and leave request are summarized in the flow chart below (Figure 1). If in doubt, disclose an activity performed outside of UAB with a [Request for External Activity Approval](#).

#### Activity Expectations:

Faculty are expected to use best judgment in applying these guidelines as each activity is unique and details regarding funding and/or UAB's relationship to an external entity may affect classification and reporting requirements. Regardless if the activity requires disclosure, faculty should be aware of potential COIs or COCs which may arise within an internal, external, or professional public service activity. Faculty responsibilities to identify, report, and (if appropriate) manage real or perceived conflicts are described in Section 5 of the [UAB Enterprise Code of Conduct Policy](#). The following provides a few examples to demonstrate where further management is desired to safely mitigate risk to both the faculty member and the institution:

- Professional public service on a Board of Directors for an institution of higher learning or a medical center may lead to a conflict of interest with UAB; or
- Activities associated with a foreign entity, including domestic activities paid for entirely, or in part, by a foreign entity have potential for real or perceived conflicts through foreign influences.

If a potential conflict is determined, then the faculty member should work through the supervisory structure to determine the best course for conflict management. For conflicts associated with research, the [UAB Conflicts of](#)

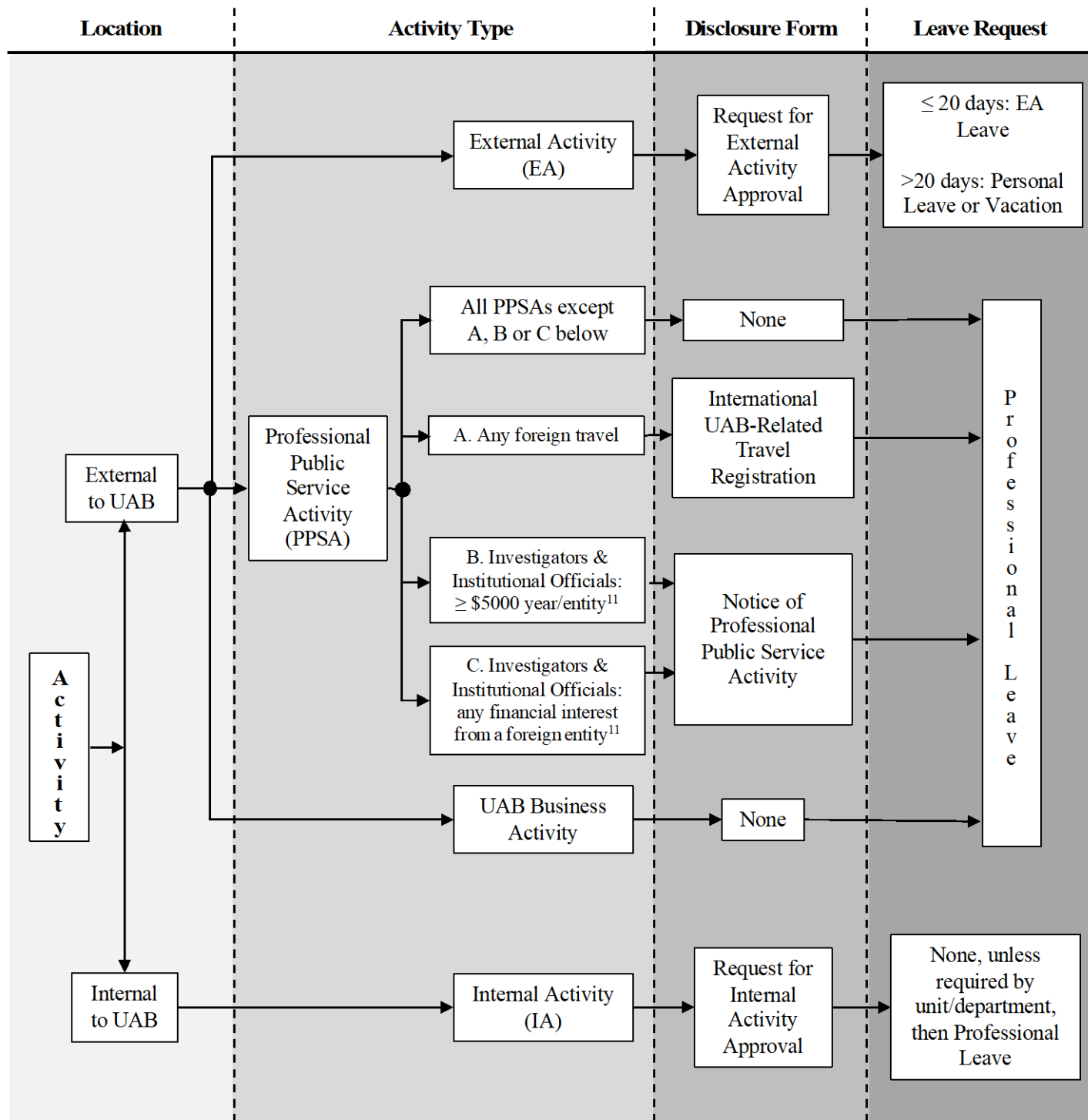
<sup>†††</sup> A department, school, college, or UAB Libraries may require submission of a [time off request](#) for Professional Leave, Internal Activities, or other UAB-related activities performed outside of UAB to manage missed clinical, teaching, or other assignments.

<sup>‡‡‡</sup> If cumulative days of External Activity Leave exceed the limit 20 days per year, then Personal Holiday and/or Vacation must be used (see [HR 128](#)).

<sup>§§§</sup> A [Notice of Professional Public Service Activity](#) is required if an Investigator receives remuneration of \$5,000 or more per year from a single entity in the previous 12 months (excluding those activities performed for federal, state, or local government agencies) OR remuneration of any amount from a foreign entity.

[Interest Committee](#) may offer guidance and/or management plans to mitigate the conflict. Additional guidance may be obtained by contacting the [UAB Office of Compliance & Risk Assurance](#) at 205-996-6540.

**Figure 1. Flow Chart of Activities, Disclosures, and Leave Requests**



## Recent Updates to the *UAB Faculty Handbook and Policies*

Previous versions of the *UAB Faculty Handbook and Policies* may be found in the UAB Libraries. Applicability of previous versions is described in the Foreword.

Date	Revision	New/Revised
4-25-2020	<p>Forward</p> <p>Introduction, 1.2.1, 2.5, 2.5.7, 2.8.1, 2.8.3, 2.12.3, 2.12.4, 2.13.2, 2.13.3, 2.14.1, 2.14.3, 2.15.1, 2.15.3, 2.15.6, 2.15.7, 2.16.1, 2.18, 2.18.2, 2.18.3.3, 3.3, 3.6, 3.9, 4.1, 4.5.5, 4.5.6, Appendices D and E.</p> <p>2.2</p> <p>2.4, 3.6</p> <p>2.5, 2.12.3, 2.12.4, 2.13.2, 2.13.5, 2.14.1, 2.14.3, 2.15.1, 2.15.3, 2.15.6, 2.15.7, 2.16.1, 2.18, 2.18.1, 2.18.2.1, 2.18.3.3, 2.18.4.3, 2.19, 2.19.1, 3.6, 3.9, 3.11.3, 3.12, 4.5.6, 4.5.7, Appendices D and E.</p> <p>2.5.1, 3.11.1</p> <p>2.11</p> <p>2.14.1, 2.15.8.2</p> <p>2.19, 3.6. Appendix F (new)</p> <p>3.11.1</p> <p>3.11.1, Appendix G (new)</p> <p>4.5.6, 4.5.7 (new sections)</p>	<p>Clarified shortened name of the <i>Faculty Handbook and Policies</i> to Faculty Handbook.</p> <p>Revise grammar, style or format</p> <p>Faculty rights in a classroom added.</p> <p>Updated Ombuds to match existing structure.</p> <p>Hyperlinks added for cross-referencing</p> <p>Conflicts of commitment with concurrent appointments restricted.</p> <p>UAB Faculty Handbook supersedes unit and department handbooks; shared governance defined.</p> <p>Criteria for promotion and/or tenure are unique to each unit.</p> <p>Added conflict resolution guidance</p> <p>Revised professional and external activities to align with UAB Enterprise COI/COC policy</p> <p>Associated leave type and activity classification.</p> <p>Professional and external activity leave added.</p>
4-14-2021	<p>1.2.1, 1.3</p> <p>2.8.1, 2.8.3, 2.8.5, 3.1</p> <p>2.8.5</p> <p>2.21</p>	<p>Updated Mission Statement</p> <p>Updated Board rules and procedures</p> <p>Clarified emeritus status as PI</p> <p>Added definition of retirement consistent with HR</p>

	<p>2.5</p> <p>2.5.6, 2.6, 2.11.1, 2.12.2, 2.14.1</p> <p>2.15.6</p> <p>2.15, 2.16</p> <p>2.13.2, 2.13.5, 2.14.1, 2.15.7, 2.15.8.3, 2.16.2, 2.18.1, and 2.19</p> <p>3.6, 3.8, Appendix F</p> <p>2.5, 2.5.4, 2.14.1, 2.15.6, 3.6, 3.11.1, Appendix G Table 2</p> <p>2.4, 2.5.4, 2.5.5, 2.12, 2.19, 2.20, 4.1, 4.2, 4.3, Appendix D</p>	<p>Added definition of faculty</p> <p>Clarified NTE designations to a rank, initial appointments, unit committee composition, and evaluation</p> <p>Clarification if changing tenure status</p> <p>Added resources for promotion and/or tenure</p> <p>Added resources for faculty wellness</p> <p>Added hyperlinks new and updated policies</p> <p>Hyperlinks, corrected errors in grammar, citations, etc.</p> <p>Consistent use of ‘full-time,’ ‘part-time,’ ‘regular,’ and similar descriptions</p>
4-12-2022	<p>Front page and introduction letters</p> <p>1.2.2.1</p> <p>2.5.5</p> <p>2.11.1</p> <p>2.15.4</p> <p>2.13.3, 2.15.4, 2.15.8.3, Appendix E</p> <p>2.15.7, 2.16.1</p> <p>2.15.9</p> <p>3.2</p> <p>Appendix E</p>	<p>Updated to current UAB graphics</p> <p>Updated name of UAB Medicine</p> <p>Add NTE designation of “Affiliate” and clarified “Clinician”</p> <p>Clarified actions on promotion or initial appointment</p> <p>Added subheading to section on tenure-earning periods, tenure period extension in event in extraordinary circumstances</p> <p>Clarified tenure-earning periods, notification of denial of tenure, and use of consistent language</p> <p>Aligned to 2.14, faculty feedback to be included from performance review.</p> <p>Added description of new evidence considered during the terminal year</p> <p>Clarified application of academic freedom</p> <p>Clarified national recognition</p>
4-11-2023	<p>Introduction, 2.15.1, 3.1</p> <p>2.5, 4.1</p> <p>2.5, 2.5.5, 2.6, 2.14.1, 3.11.1, 4.1, 4.2, 4.3, Appendix D-I</p> <p>2.8.4</p>	<p>Corrected title of The Board of Trustees of The University of Alabama</p> <p>Clarified 9-month and 12-month faculty appointments.</p> <p>Replaced non-regular faculty with contingent faculty.</p> <p>Revised endowed positions to align better with Board Rule 508.</p>



	<p>2.10, 2.12, Appendix E</p> <p>2.11.2</p> <p>3.9, 3.10, 3.11, 3.12</p> <p>2.5, 4.1, 4.2, 4.3, 4.4, 4.5</p> <p>Appendix D &amp; E</p> <p>2.5.5, 2.9, 2.13, 2.14, 2.15.4, 2.15.4, 2.15.6, 2.15.7, 2.15.8, 2.18.1, 2.18.2, 2.18.2, 2.18.3, 2.18.4, 2.19, 3.1, 3.3, 3.11.3, 3.13, 4.5.5, Appendix A, Appendix B, Appendix C, Appendix D, Appendix F, Appendix G</p>	<p>Recognized effort toward innovation and entrepreneurship for promotion, award of tenure, and annual evaluation.</p> <p>Defined committee composition for small departments.</p> <p>Updated sections on intellectual property, copyright, external activities, and digital media to align with existing policy.</p> <p>Updated personal leave, clarified FMLA and Paid Parental Leave</p> <p>Scholarship definitions updated to match current diverse practices on UAB campus.</p> <p>Neutralization of pronouns to align with modern policy structure.</p>
4-25-2024	<p>Introduction, 1.3.2</p> <p>1.2.2.1.2</p> <p>2.8.5</p> <p>2.11.2</p> <p>2.12, 2.15.6</p> <p>2.20, 2.21</p> <p>Appendix E #23</p> <p>2.5, 2.5.5</p>	<p>Updated to current strategic plan and removed position titles that are no longer applicable.</p> <p>Added language that unit Handbooks should be regularly updated.</p> <p>Updated emeritus faculty to align with current procedures.</p> <p>Defined committee composition for small departments.</p> <p>Clarified faculty searches, tenure status changes to and from TE and NTE; included table.</p> <p>Clarified resignation and retirement to align with existing policy.</p> <p>Guidance to assure activities in support of Shared Values meet scholarly criteria for promotion and tenure documentation.</p> <p>Minor revision with addition of hyperlinks</p>
4-8-2025	<p>1.22</p> <p>2.5.1, 2.5.2, 2.5.3</p> <p>2.12</p> <p>2.8.5</p> <p>2.15.4, Appendix E #2&amp;3</p>	<p>Updated institutional description and name changes.</p> <p>Clarified supplementary appointments including terms for administrative appointments.</p> <p>Added resources for initial appointments.</p> <p>Clarified criteria for emeritus appointments.</p> <p>Defined early application for tenure.</p>

	2.15.7, 2.16.1	Aligned language for award of tenure and promotion for consistency.
	2.15.8.1, 2.15.8.2, 2.16.2	Clarified notification processes and assurance of privacy.
	4.4.5	Clarified expectations after return to service following sabbatical.
	3.8, 4.3, 4.4, Appendix F #8	Minor grammatical revisions and updated hyperlinks to current UAB policies.

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