CHAPTER 7

**7. FACULTY PERSONNEL POLICIES & PROCEDURES**

**7.1.Deﬁnitions**

The faculty of the University of Alabama in Huntsville is deﬁned as full-time or part-time mem­bers of the University who have been appointed by the University to one of the categories of faculty appointment speciﬁed in Section 7.1.1 in accordance with the appointment polices of the University and the Board of Trustees. Faculty members normally have responsibilities for teaching, scholarly and/or creative achievements, and service activities; however, faculty members may be assigned responsibilities for administrative tasks and some full-time adminis­trators may have faculty status.

**7.1.1.Categories of Faculty Appointment**

There are two categories of faculty appointment: (1) tenured and tenure-track and (2) non-tenure track.

*7.1.1.1.Tenured and Tenure-Track Faculty*

Tenured faculty members are those who have been awarded tenure by the University in accor­dance with Board Rule 301 of the Board of Trustees of the University of Alabama (<http://www.uasystem.ua.edu/board/Combined%20Board%20Manual.pdf>). Tenure may be granted at the time of the faculty member’s initial appointment to the faculty or following a pro­bationary period in a tenure-track faculty position (See Sections 7.5.2 and 7.9). Tenure-track appointments are probationary appointments with an explicit provision in the contract or letter of offer for a review for tenure by the end of the probationary period. The four ranks of tenured and tenure-track faculty are, in ascending order: instructor, assistant professor, associate pro­fessor, and professor. Tenured and tenure-track faculty members normally have responsibilities in each of the three areas of teaching, scholarly and/or creative achievements, and service ac­tivities. Some tenured faculty members may be assigned responsibilities for administrative tasks and some full-time administrators may have tenured faculty status. In rare cases, tenure-track faculty members may be assigned responsibilities for administrative tasks or serve as full-time administrators; such assignments require the agreement of the faculty member as well as the approval of the Department Chair, Dean, and Provost.

*7.1.1.2.Nontenure-Track Faculty*

Nontenure-track faculty appointments are appointments in which the faculty member has nei­ther been awarded tenure nor is eligible to be reviewed for tenure consideration. There are 4 sub-categories of non-tenure track faculty: (1) research faculty, (2) clinical faculty, (3) library faculty, and (4) ﬁxed-term appointment faculty. Nontenure-track faculty members are ineligible to serve as department chairs or associate chairs. Nontenure-track faculty also are not eligible to serve on the University Review Board; college Promotion and Tenure Advisory Committees (PTAC); any search and appointment committees for tenured or tenure-track faculty; any reap­pointment committees for tenure-track faculty; or any departmental promotion or tenure com­mittees for tenured or tenure-track faculty.

*7.1.1.2.1.Research Faculty*

Research faculty appointments are for a ﬁxed period of time. Because funding of the salaries of research faculty is derived primarily from contracts, grants, and other non-continuing sources of funding, appointments normally are for one year. Reappointments are dependent on annual performance reviews and the availability of funding. The primary responsibility of re­search faculty is in the area of research or contract-consulting activities. However, those ap­pointed to full-time research faculty positions are expected to participate in the academic pro­grams of the department. The three ranks of research faculty are, in ascending order: assistant research professor, associate research professor, and research professor.

*7.1.1.2.2.Clinical Faculty*

Clinical faculty appointments are for a ﬁxed period of time, normally ranging from one aca­demic year to three years in duration. There is no limit to the number of times that a clinical faculty member can be reappointed. However, reappointment is based on curricular, enroll­ment, and ﬁnancial factors as well as on the individual faculty member’s performance. Clinical faculty members normally have responsibilities in each of the three areas: (1) teaching, includ­ing supervision of students in clinical or professional settings on-and off-campus; (2) scholarly and/or creative activities, especially related to clinical or professional practice; (3) service; and

(4) clinical and professional practice. The four ranks of clinical faculty are, in ascending order: clinical instructor, clinical assistant professor, clinical associate professor, and clinical profes­sor.

*7.1.1.2.3.Library Faculty*

Library faculty appointments are for a ﬁxed period of time, normally a three-year rolling ap­pointment. There is no limit to the number of times that a library faculty member can be reap­pointed. However, reappointment is based on curricular, enrollment, and ﬁnancial factors as well as on the individual faculty member’s performance. Library faculty members’ primary re­sponsibilities normally are in the area of professional practice of librarianship, but they also may be assigned responsibilities in the areas: (1) teaching,; (2) scholarly and/or creative activities, especially related to professional practice; (3) service; and (4) clinical and professional practice. The four ranks of library faculty are, in ascending order: library instructor, library assistant pro­fessor, library associate professor, and library professor.

*7.1.1.2.4.Fixed-Term Appointment Faculty*

Fixed-term appointments are for a delineated period of time and convey no right or expectation of employment beyond the period stated in the letter of appointment. Term appointments are normally for one semester or for one to three academic years as detailed in a letter of appoint­ment. (Notice of non-reappointment may be provided at any time prior to the end of the speci­ﬁed term). Fixed-term faculty appointments have the title of *lecturer* or *visiting professor*. Fixed-term faculty members may be eligible for selected university beneﬁts in accordance with Chap­ter 9. They are expected to participate in the academic programs of the unit.

*Lecturer* appointments are designed to serve special instructional needs in academic depart­ments. There is no limit to the number of times that a lecturer can be reappointed. However, reappointment is based on curricular, enrollment, and ﬁnancial factors as well as on the indi­vidual faculty member’s performance. Lecturers’ responsibilities are primarily in the area of teaching; but lecturers have some service responsibilities. Teaching requirements may be ad­justed for involvement in important projects or special activities of value to the department and the college.

*Visiting faculty* appointments are for a ﬁxed period of time, usually for one academic year, and may carry the titles of visiting instructor, visiting assistant professor, visiting associate profes­sor, visiting professor, visiting research professor, etc. The visiting designation is normally used for faculty who are temporarily on leave from other universities or organizations. Visiting faculty members normally have responsibilities in each of the areas of teaching and scholarly and/or creative achievements.

*7.1.1.2.5.Adjunct Faculty*

*Adjunct faculty* members have recognized professional qualiﬁcations. Their duties, responsibili­ties, and ranks may vary between departments and colleges, and are speciﬁed in the letter of appointment. Letters of appointment for adjunct faculty also deﬁne the length of the appoint­ment, which may be for one to three years, with the initial appointment usually for one year. Ad­junct faculty are not compensated except when they also are appointed as a temporary faculty member in accordance with Section 7.1.1.2.6 to teach a course or carry out a project on a de­mand basis.

*7.1.1.2.6.Temporary Faculty*

Temporary faculty members are appointed to carry out a speciﬁc task or tasks and their ap­pointment is for the duration of the task. Usually, the task is to teach a class, serve on a com­mittee, or work on a project. Appointment is on the basis of demand in the academic depart­ment making the appointment. The task, associated responsibilities, and compensation are deﬁned upon appointment.

**7.1.2.Full-time and Part-time Status**

A faculty member’s letter of appointment shall specify whether the appointment is to a position with full-time or part-time status. Although normally, tenured and tenure-track faculty, research faculty, clinical faculty, ﬁxed-term appointment faculty, and librarians have full-time status, in some cases such faculty members may have part-time status. Part-time faculty appointments normally are for a speciﬁed period of time, such as a semester or an academic year, but in some cases may be continuing appointments. Pay and beneﬁts for part-time appointments may be less than for comparable full-time appointments.

*7.1.2.1.Tenured or Tenure-Track Faculty*

Normally, tenured and tenure-track faculty have full-time status. In some circumstances, how­ever, a tenured or tenure-track faculty member whose initial appointment was full-time may seek to change to part-time status either to accommodate a disability or because of commit­ments elsewhere. Such commitments may be personal in nature (e.g., ill health, to care for a family member with a serious medical condition) or professional in nature (e.g., a part-time ap­pointment with another university or a government agency). Tenured or tenure-track faculty on sick leave or parental leave shall retain full-time status.

A full-time tenured or tenure-track faculty member who wishes to change to part-time status may submit a written request for a change to part-time status to his or her department chair. The written request for change to part-time status shall specify the reasons for requesting the change and the duration for which the part-time status is requested. Any change from a full-time tenured or tenure-track position to a part-time tenured or tenure-track position shall re­quire the agreement of the faculty member, as well as the approval of the faculty member’s de­partment chair and dean, and the approval of the Provost. In cases involving disability or inter­mittent leave under the Family and Medical Leave Act, the Ofﬁce of Counsel shall also be con­sulted. Part-time tenured or tenure track appointments shall be for a speciﬁed period of time, but may be extended at the faculty member’s request with the approval of the faculty mem­ber’s Department Chair and Dean, of the Provost, and where appropriate, the Ofﬁce of Coun­sel. At the end of the period for part-time status, if a part-time tenured or tenure-track faculty member does not request an extension of part-time status, the faculty member shall resume full-time status.

A part-time tenured or tenure-track faculty member’s salary shall be prorated in proportion to the reduction in the faculty member’s workload. To the extent permitted by other university and system policies, a part-time tenured or tenure-track faculty member shall continue to receive employee beneﬁts, although the University’s contribution to payment for beneﬁts shall be pro­rated in proportion to the reduction in the faculty member’s workload. A part-time tenured or tenure-track faculty member shall be eligible for merit salary increases and support for schol­arly and/or creative activities. A part-time tenured or tenure-track faculty member shall accrue service credits toward sabbatical leave on a prorated basis in proportion to the reduction in the faculty member’s workload. (For example, a faculty member who has worked for 2 academic years on a part-time schedule of 50% time would accrue 1 year of service credit toward a sab­batical leave.)

*7.1.2.2.Nontenure-Track Faculty*

*7.1.2.2.1.Research Faculty, Clinical Faculty, Library Faculty, and Fixed-Term Appointment*

Research faculty appointments, clinical faculty appointments, library faculty appointments, and lecturer appointments are normally full-time, but may be part-time. The full-time or part-time status of these sub-categories of faculty is determined at the time of their appointment and may be revised upon reappointment. To the extent permitted by other university and system policies, a part-time research faculty member, clinical faculty member, library faculty member, or ﬁxed-term appointment faculty member shall continue to receive employee beneﬁts, al­though the University’s contribution to payment for beneﬁts shall be prorated in proportion to the reduction in the faculty member’s workload. Part-time clinical, library, or research faculty members and part-time lecturers shall be eligible for merit salary increases.

**7.1.3.Special Titles**

*7.1.3.1.Faculty Holding Prestigious and Named Professorships*

Board of Trustees Rule 508 permits the establishment of special academic chairs and the ap­pointment of prestigious and named professorships. All named professorships and academic chairs are established by Board action. Appointments to ﬁll these professorships are made by the Board of Trustees after recommendation by the Provost, the President, and the Chancellor. In order to maintain adequate uniformity and the highest degree of prestige and selectivity in the establishment of chairs and professorships, to assure academic excellence, and to provide the highest honor in the selection of recipients, the Board has adopted policies that recognize classiﬁcations of prestigious professorships. See Appendix C.

*7.1.3.2.Emeritus Faculty*

A tenured faculty member, research faculty member, library faculty member, or clinical faculty member with ten years of full-time service to the university shall be awarded emeritus status at his or her professorial rank upon retirement. The faculty member’s Dean shall initiate the proc­ess for awarding the Emeritus Professor title.

**7.1.4.Joint Appointments**

A tenured, tenure-track, clinical, or research faculty member may have a joint appointment with more than one department or unit. For a tenure-track faculty member, one department shall be designated as the faculty member’s tenure home. For all other personnel actions, decisions shall be made separately by each department.

**7.1.5.Academic and Calendar Years**

*7.1.5.1.Academic Year*

The academic year encompasses the fall and spring semesters. The ofﬁcial beginning of the academic year is noted on the university calendar; on that date faculty members are expected to be available for student advising, departmental and university meetings, or other faculty re­sponsibilities. The academic year concludes with spring commencement.

*7.1.5.2.Calendar Year*

A calendar year is deﬁned as a period of twelve months. The beginning and ending dates of calendar year appointments are speciﬁed in the letter of offer to the faculty member and are not necessarily tied to the academic calendar.

**7.1.6.Equivalents to the Department and Department Chair**

Throughout the rest of this chapter, in the College of Nursing, the College is the equivalent of the Department and the Associate Dean is the equivalent to the Department Chair; in the Li­brary the Library is the equivalent of the Department and the the Assistant to the Dean of the Library is the equivalent to the Department Chair.

**7.2.Types of Contracts**

**7.2.1.Tenure-Track Faculty Contracts**

The provisions of this section apply to both full-time and part-time tenure-track faculty.

*7.2.1.1.The Probationary Period*

The probationary period is deﬁned as the maximum length of time between the initial appoint­ment as a member of the tenure-track faculty and end of the latest academic year in which tenure may be awarded or denied. For appointees whose initial appointment to the tenure-track faculty begins in the fall semester, the probationary period shall be no more than six years in length, unless extended subject to the provisions stated below in Section 7.2.1.4. For ap­pointees whose initial appointment to the tenure-track faculty begins in the spring semester, the probationary period contract ends no more than six years from the beginning of the ﬁrst fall semester following the date of initial appointment.

*7.2.1.2.Initial Appointment Contracts*

Appointment as a tenure-track member of the faculty requires a recommendation by at least a majority of the tenured and tenure-track faculty of the department or program concerned and an afﬁrmative recommendation to the Provost by the Dean of the college. No offer or appoint­ment, either written or verbal, may be extended without the approval of the Provost.

We assume that such appointments are full-time. In rare instances, a temporary period of part-time status may be requested by the candidate. In such cases, this shall be stated in the letter of offer.

The Dean shall inform each new appointee in a written letter of offer of the terms and condi­tions of the appointment, including but not limited to: (a) the length of the probationary period;

(b) the length of the initial appointment; (c) the salary and fringe beneﬁts applicable to the ap­pointment; (d) the policies and procedures applying to reappointment, promotion, and tenure determinations; and (e) in cases of joint appointments, designation of the department that will be the faculty member's tenure home. In cases where the probationary period is less than six years, the letter of offer also shall specify when the faculty member will be reviewed for reap­pointment in accordance with Section 7.8.2. Otherwise, the initial appointment contract for tenure-track faculty members shall be for three academic years for faculty members whose initial appointment begins in the Fall semester and for three-and-a-half academic years for fac­ulty members whose initial appointment begins in the Spring semester, contingent on the fac­ulty member’s completion of all requirements for his or her terminal degree by the end of the ﬁrst full academic year of the appointment. If a faculty member does not complete all require­ments for the terminal degree by the end of the ﬁrst full academic year of the initial appoint-ment, the contract will end at the end of the second academic year of the probationary period. The multi-year initial contract for a tenure-track faculty member may be terminated by the Pro­vost in response to a recommendation by the faculty member’s department chair and dean without appeal at any time prior to the end of the ﬁrst full academic year of the contract if the faculty member fails to perform academic duties in accordance with generally accepted norms. After the ﬁrst year, such contracts may be terminated for cause in accordance with Section

7.14.

*7.2.1.3.Reappointment Contracts*

Reappointment contracts are offered in accordance with the schedule and procedures speci­ﬁed in Section 7.8.2 until a tenure-track faculty member is: (a) granted tenure, or (b) receives a notice of nonreappointment, (c) is discharged for cause, or (d) is terminated for failure to per­form academic duties in accordance with generally accepted norms prior to the end of the ﬁrst full academic year of the faculty member’s initial contract.

*7.2.1.4.Extensions of the Probationary Period*

The probationary period may be extended in cases where the tenure-track faculty member's productivity is temporarily reduced because of extenuating circumstances, including but not limited to when the faculty member has experienced a serious or chronic illness or short-term disability, the birth of a child, the serious illness of a family member, or extensive involuntary time commitments to duty in the uniformed services. The faculty member shall submit a re­quest for the extension, including a statement of the reasons for the extension, to the Depart­ment Chair. Requests for extension must be acted upon by the Chair, the Dean, and the Pro­vost.

The decision of a tenure-track faculty to opt for part-time status shall not automatically result in an extension of the probationary period. An extension of the probationary period shall be automatic for faculty members who require intermediate-term sick leave, long-term sick leave, or parental leave. Faculty members whose productivity has been adversely affect by time spent on Family and Medical Leave Act Leave, Uniformed Services Leave, and Short-Term Sick Leave may also be eligible for an extension of the probationary period.

A faculty member who has been granted an extension of the probationary period may choose to be evaluated for tenure during the last year of probationary period originally speciﬁed in his or her letter of appointment by giving notiﬁcation to his or her department chair of this decision by May 1 in the year preceding the academic year in which the tenure review will occur; such a faculty member shall not be considered a candidate for “early tenure” and shall not have to meet the criteria for early tenure speciﬁed in Section 7.5.2.1.

*7.2.1.5.Terminal Contracts*

A tenure-track faculty member who has been reviewed for reappointment and who has been given a notice of nonreappointment shall be given a terminal contract for one academic year. A tenure-track faculty member who has been denied tenure shall be given a terminal contract for one academic year. A tenure-track faculty member who has been discharged for cause is not entitled to a terminal contract. A tenure-track faculty member who is terminated without appeal at any time prior to the end of the ﬁrst full academic year of the faculty member’s initial con­tract for failure to perform academic duties in accordance with generally accepted norms is not entitled to a terminal contract.

**7.2.2.Tenured Faculty Contracts**

Tenure is a means both to protect academic freedom in teaching, scholarly and/or creative, service, and extramural activities and to insure a sufﬁcient degree of employment security to make the profession attractive to men and women of ability. Tenure also serves the interests of the institution because, in the absence of the employment security that tenure provides, faculty members have an incentive to allocate their time primarily to activities that enhance their mar­ketability at the expense of other activities that serve the institutions interests but do not en­hance the faculty member’s attractiveness to other employers.

Once awarded, tenure shall be strictly observed in accordance with the guidelines in the AAUP Policy Documents and Reports (2006) and consistent with ofﬁcial University of Alabama Sys­tem policies. UAHuntsville adopts the deﬁnition of tenure stated in the University of Alabama System Board of Trustees Rule 301 (as amended, November 14, 2008), which states that:

*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.*

University of Alabama System Board Rule 301, as amended November 15, 2008, further states that tenure is held by a faculty member "only at the institution in which tenure has been awarded, not in the System as a whole."

A tenure contract is for an academic year and gives the faculty member the contractual right to be employed for succeeding academic years until the faculty member: (1) resigns; (2) retires;

(3) is discharged for cause in accordance with the criteria and procedures speciﬁed in Section 7.14; (4) is terminated pursuant to bona ﬁde ﬁnancial exigency of the institution or division in which tenure is held, or a major curtailment or formal discontinuance of a program or depart­ment of instruction; (5) becomes permanently disabled and the disability prevents the faculty member from performing the essential functions of the job with or without reasonable accom­modation that does not cause undue hardship to the university; or (6) dies. This contract is subject to the terms and conditions of employment that exist from one academic or calendar year to the next, but such terms will not be inconsistent with this policy.

Tenure is normally awarded after a probationary period, but may be awarded to a faculty mem­ber at the time of ﬁrst employment. Criteria and procedures for awarding tenure are speciﬁed in Sections 7.5.2 and 7.10, respectively.

**7.3.Faculty Search, Appointment, and Orientation Procedures**

UAHuntsville is committed to complying with federal and state laws prohibiting discrimination in employment and regulating the employment of non-citizens. Before initiating a search for a faculty position, the Department Chair or other administrative ofﬁcer responsible for the search must consult and follow carefully the university's afﬁrmative action plan and checklist of af­ﬁrmative action procedures and must consult with the UAH Security Ofﬁcer and Immigration Specialist early in the search process about compliance with these laws.

**7.3.1.Recruiting, Selection, and Appointment of Tenured and Tenure-Track Faculty**

Responsibility for recruiting prospective faculty members lies with the Department Chair and the faculty of the department. If a joint appointment is contemplated, the Chair and faculty of the department that would be the faculty member’s tenure home shall have primary responsi­bility for recruitment, but shall involve the Chair and faculty of other secondary departments with which the faculty member is expected to have a joint appointment (hereafter referred to as the secondary department).

*7.3.1.1.Approval to Recruit*

Faculty appointment follows a department’s (or in the case of joint appointments, the depart­ments’) identiﬁcation of the existence of a need, together with administrative approval of the availability of funds for the position. Prior to initiating a search, the Department Chair must submit a written request and justiﬁcation for hiring to the Dean and the Provost and must ob­tain their approval for the search and their authorization of funds for the position.

*7.3.1.2.Appointment and Composition of the Search Committee*

Once such approval is obtained, the Department Chair is responsible for appointing a faculty search committee. This committee shall include the Department Chair, at least two other fac­ulty members from the tenured and tenure-track faculty of the department, and one tenured or tenure-track faculty member from outside the department. The Department Chair may serve as chair of the committee or may appoint a tenured faculty member in the department and in the discipline in which the new faculty member is being recruited to serve as chair. In multi­disciplinary departments (e.g., Economics and Information Systems), a majority of the mem­bers and the Search Committee Chair shall be tenured and tenure-track faculty members in the discipline in which the new faculty member is being recruited. If a joint appointment is being contemplated, the committee also shall include the Chair and at least one other tenured faculty member from each secondary department; however, the Committee Chair and a majority of the members of the search committee must be from the tenure-home department of the prospec­tive faculty member.

*7.3.1.3.Recruitment and Selection of Finalists for the Position*

The Search Committee is responsible for developing a position announcement and for devel­oping and implementing a plan for recruiting an applicant pool for the position. The position announcement, in addition to describing the position, shall identify required credentials and credentials to which preference will be given in selecting a hire; shall list the information that the applicant must provide to be considered for the position; and shall identify a deadline by which a candidate must provide the search committee with such information. Recruitment ac-tivities may include, but are not limited to print and electronic advertising, attending job fairs at professional conferences, and soliciting peer- and self-nominations.

The Search Committee is responsible for gathering information about the applicants. Such in­formation must include, but is not limited to the following: (1) a statement of the candidate’s interest, (2) a complete resume, (3) three written references, and (4) a sample of the candidate’s written research or appropriate evidence of the candidate’s scholarly and/or creative achieve­ments as speciﬁed by the Search Committee. The references must be submitted by the indi­vidual writing them for the candidate, and not by the candidate. As a condition of employment, the candidate’s ofﬁcial college transcripts also must be submitted to the Dean of the college in which the appointee will have a tenure home. Other sources of information that may be used to screen candidates include, but are not limited to: telephone calls to colleagues of the candi­date, telephone interviews of the candidate, “googling” the candidate, background investiga­tions of the candidate, preliminary informal interviews of the candidate at job fairs or profes­sional conferences, a review of the candidate’s scholarly and/or creative achievements, evalua­tions of the candidate’s teaching performance at other colleges or universities, and other ap­propriate means of determining the candidate’s suitability for employment as a faculty member at UAHuntsville.

The Search Committee is responsible for using the information gathered about candidates to identify a short list of at least three ﬁnalists for the position and presenting this list to the ten­ured and tenure-track faculty in the tenure-home department, who shall vote on whether or not to accept the ﬁnalists; if any of the ﬁnalists are rejected, the Search Committee shall propose additional ﬁnalists to the aforementioned faculty until a majority approve a list of three ﬁnalists to recommend to the Dean. The Dean has the authority to reject a ﬁnalist and to request the committee to recommend an alternate proposed ﬁnalist. Once the Dean has approved three ﬁnalists, the Dean shall seek authorization from the Provost to invite the three ﬁnalists to cam­pus for an interview visit.

If an appointment with tenure is contemplated, the Department Chair in the tenure-home de­partment shall begin gathering information required for a tenure review and shall notify both the tenured faculty in the department and the college’s PTAC that a tenure review will need to be conducted as soon as a ﬁnalist is selected.

*7.3.1.4.Campus Interview of Finalists*

 The Provost’s ofﬁce shall provide funds to bring the three ﬁnalists to campus for interviews. The Search Committee Chair is responsible for managing the ﬁnalists’ campus interview visits. Each interview visit must include the following:

a) Some type of seminar, lecture, or performance to give an indication of the candidate's

competence in teaching and in scholarly and/or creative activities;

b) An informal gathering to permit all interested faculty to meet the candidate;

c) An opportunity for individual discussions between the candidate and his or her pro­

spective colleagues in the tenure-home and secondary departments;

d) An opportunity to meet students, either at the seminar or at another appropriate occa­

sion;

e) Interviews with the Department Chair(s) and Dean(s) in which the individual would have a faculty appointment, and with the Provost or his or her designated representative.

*7.3.1.5.Selection and Offer of Appointment*

After the campus interview visits, the Department Chair of the tenure-home department for the position shall gather feedback from faculty and other individuals who interacted with each can­didate during his or her visit and shall make such feedback available to the tenured and tenure-track departmental faculty, who shall determine by at least a majority vote which of the candi­dates to recommend for appointment. If none of the candidates are acceptable to the depart­mental faculty, they may request that the Search Committee identify a second list of candi­dates to interview. They also may request that the search be extended in an effort to attract more candidates.

Once the department has identiﬁed an individual that a majority of the tenured and tenure-track faculty members in the department wish to hire, the Department Chair shall convey the de­partment’s recommendation to the Dean of the college. In the case of candidates who would have joint appointments with part of their salaries budgeted to another department, this proc­ess shall be conducted in both departments, with both departments conveying recommenda­tions to the Dean or Dean(s). If the Dean(s) approves the departmental recommendation, the Dean(s) shall prepare a letter of offer and submit it to the Provost for approval. If the letter of offer is for a joint appointment, it must specify which department will be the faculty member’s tenure-home. The Department Chair in the tenure-home department is responsible for handling negotiations with the candidate pertaining to the speciﬁcs of the offer, subject to constraints set by the Provost and Dean(s).

In it event that the Dean or the Provost does not approve the candidate recommended by the department(s), they shall request the department to reconsider the pool of applicants and make an alternate recommendation or to extend the search. In such cases, the administrator re­sponsible for the decision must give the Department Chair a written explanation for the deci­sion.

**7.3.2.Recruiting, Selection, and Appointment of Nontenure-Track Faculty:**

*7.3.2.1.Clinical, Library, and Research Faculty*

Each unit employing clinical, library, or research faculty shall develop recruiting, selection, and appointment procedures for such faculty that are similar to the procedures for the appointment of tenured and tenure-track faculty with appropriate modiﬁcations given the nature of those appointments. In academic colleges, the college’s PTAC shall be responsible for developing proposals for such procedures, which shall be adopted if approved by a majority vote of the tenured faculty. All such procedures must be approved by the Provost. The Provost’s ofﬁce shall post approved policies on the UAHuntsville’s Faculty and Staff web page.

*7.3.2.2.Fixed-Term Appointment Faculty*

Each unit employing ﬁxed-term appointment faculty shall develop recruiting, selection, and ap­pointment procedures for such faculty that are similar to the procedures for the appointment of tenured and tenure-track faculty but expedited by modiﬁcations appropriate to the nature of such appointments. In particular, such procedures should take into account that it is often nec­essary to hire ﬁxed-term faculty in a very short time frame. In academic colleges, the college’s PTAC shall be responsible for developing proposals for such procedures, which shall be adopted if approved by a majority vote of the tenured faculty. All such procedures must be ap­proved by the Provost.

**7.3.3.New Faculty Orientation**

Prior to the beginning of the fall semester, the Ofﬁce of the Provost shall conduct an orientation for new faculty that provides an opportunity to meet with university administrators and to be­come familiar with the work of university departments with which they will interact. New faculty should work closely with their Department Chairs to become aware of the expectations and requirements of their departments.

**7.4.Faculty Workload**

It is recognized that the workload of a tenured or tenure-track faculty member normally in­cludes obligations in three areas of activity: teaching, scholarly and/or creative achievements, and service. The workload of clinical faculty is normally concentrated in the areas of clinical or professional teaching and practice. The workload of library faculty is normally concentrated in the areas of professional practice. The workload of research faculty is normally concentrated on funded projects. For ﬁxed-term appointment faculty, the workload will be in areas of activity speciﬁed in their letter of appointment.

Department chairs and deans are responsible for administering faculty workloads in an equita­ble fashion and for weighing the impact of teaching loads on resources and productivity.

The teaching responsibility for tenured or tenure-track faculty shall be no more than 18 semes­ter hours per academic year. Lower teaching loads shall be granted under a number of circum­stances where the faculty member has unusually high obligations outside of teaching, including when the faculty member’s responsibilities include above-average time commitments to serv­ice assignments during the academic year; to other special assignments for the department, college, or university; to the supervision of professional projects, theses, or dissertations; to unpaid service work for the university during the summer; to student advising; and to major funded or unfunded research or consulting contracts.

Teaching responsibilities for other categories of faculty may be higher, with a maximum of 12 semester hours per semester, or lower depending on the needs and mission of the department and the obligations of the faculty member.

When the administration above the college-level asks a faculty member to take on a service or administrative activity involving a substantial time commitment, the Provost shall make ar­rangements with the faculty member’s department and college for a commensurate reduction in the faculty member’s teaching load and, if needed, should provide funds to replace the fac­ulty member in the classroom.

Full-time tenured and tenure-track academic faculty members may obtain a redistribution from the amount of time allocated to non-research assignments (teaching and service obligations) to research if they are able to charge a fraction of their academic-year salary to either a contract, grant, or research unit. Such arrangements require long-term consultation with and approval by the respective chair, director and dean. In the interest of the quality and continuity of teaching, research assignments should normally be limited to 50% of the usual workload of a faculty member.

**7.5.Criteria for Evaluating Faculty**

**7.5.1.General Criteria for Faculty**

Faculty members are evaluated on the basis of their effective performance or potential for ef­fective performance in three areas of activity: (1) teaching, (2) scholarly and/or creative achievements, and (3) service. For clinical faculty members, performance in clinical and profes­sional practice also will be evaluated; for library faculty, performance in professional practice also will be evaluated. These criteria form the basis for evaluating faculty members for ap­pointment, performance reviews, tenure, promotion, and salary increases. Departments and colleges may have additional criteria consistent with these university-wide standards. Depart­mental and college criteria shall be placed on ﬁle with the Provost’s ofﬁce and the appropriate Dean’s ofﬁce.

*7.5.1.1.Effectiveness in Teaching*

Faculty members are expected to perform effectively in all appropriate teaching settings and situations. Students, colleagues, and administrators should recognize a faculty member's dili­gence and dedication in a classroom, lecture hall, seminar, laboratory, clinic, or library, and when appropriate, effectiveness in directing the research and creative activities of undergradu­ate and/or graduate students. Criteria for judging effectiveness in teaching may include but are not limited to the following: thorough knowledge of subject matter; imaginative, efﬁcient, and rigorous methods of presenting course materials and evaluating learning; effectiveness in oral and written communication; active concern for students' advancement in the discipline, in the university, in the workplace, and in the community; ability to engender and nurture values of learning (e.g., curiosity, objectivity, enthusiasm, fairness, and critical thinking) in students; a re­cord of producing students who, by virtue of effective teaching, achieve success throughout their university careers; and pedagogical diligence, dedication, versatility, generosity, and crea­tivity.

*7.5.1.2.Effectiveness in Scholarly and/or Creative Achievements*

The university encourages a broad spectrum of scholarly and creative activities of the highest possible quality, including basic, applied, clinical, and pedagogical research, as well as a range of artistic activities, across the full range of academic disciplines. The university's commitment to these activities stems from its obligation to advance knowledge, to educate both under­graduate and graduate students, and to serve the economic and cultural needs of society. The value and weight given to speciﬁc types of scholarly and creative achievements shall be de­termined by standards set at the departmental and college levels. Criteria for judging effective­ness in scholarly and creative achievements include but are not limited to the following: (1) the ability to publish research in peer-reviewed outlets or peer and/or professional recognition of the faculty member's scholarly and/or creative work, and (2) the contribution of the faculty member's research to knowledge or the contribution of the faculty member's creative work to the needs of society.

*7.5.1.3.Effectiveness in Service*

Evaluation of a faculty member's effectiveness in service is based on service to the university, the profession or discipline, and the community (local, state, national and international). Uni­versity service encompasses service to the faculty member's department and college as well as university-level activities, including but not limited to the following: diligent service on de­partmental, college, or university committees; membership in the Faculty Senate and its com­mittees; advising student clubs and organizations; and administrative assignments. Profes­sional service activities include but are not limited to the following: service to learned and pro­fessional societies and service as an editor or referee for scholarly publications. Community service activities include but are not limited to outreach, services or consultation provided to business, media, government, cultural, educational, political, and health-care organizations.

*7.5.1.4.Effectiveness in Clinical and Professional Practice*

Clinical faculty members are expected to be excellent clinicians or practitioners in their profes­sion. Criteria for judging effectiveness in clinical and professional practice include but are not limited to the following: demonstrated knowledge and advanced skills in the selected clinical or professional specialty area; evidence of continuing professional development; and evidence of clinical or professional advancement and achievement.

**7.5.2.Tenure Criteria**

Tenure is granted only to those faculty members who show evidence of substantial achieve­ments and promise of continuing contributions in the areas of teaching, scholarly and/or crea­tive achievements, and service; and who meet the criteria for promotion to associate professor. Professors, associate professors, or assistant professors with tenure-track contracts are eligi­ble for tenure consideration. Except in unusual circumstances, tenure shall be granted only to persons with a terminal degree in an appropriate discipline. In the case of joint appointments, tenure is granted only with respect to the tenure-home department; however, if a tenured fac­ulty member’s department is restructured or merged with another department for reasons other than ﬁnancial exigency, the faculty member’s tenure shall be transferred to the newly formed department. Departments and colleges may establish additional tenure criteria consistent with these university-wide standards and Board of Trustees rule 301 (The Board of Trustees of the University of Alabama, *Board Manual*, REV 6/2009). Departmental and college tenure criteria shall be placed on ﬁle with the Provost’s ofﬁce and the appropriate dean’s ofﬁce. Assistant pro­fessors applying for tenure must simultaneously apply for promotion to associate professor.

*7.5.2.1.Early Tenure*

Early tenure review refers to tenure review prior to the last academic year of the tenure-track faculty member’s probationary period as deﬁned in Section 7.2.1.1 or as extended under Sec­tion 7.2.1.4. Such candidates for tenure must demonstrate exceptionally meritorious achieve-ment in scholarly and/or creative activities in addition to meeting the criteria speciﬁed in Sec­tion 7.5.2.

*7.5.2.2.Tenure at Time of First Appointment*

New members of the faculty may be offered tenure at the time of ﬁrst employment. These fac­ulty members must meet the above criteria for tenure and the criteria articulated in Section

7.5.3 for appointment to their appointed rank. No offer of employment awarding tenure and faculty rank shall be made without securing the explicit recommendation of the tenured faculty in the academic unit(s) in which tenure is being awarded in accordance with the College’s pro­cedures and Board Rule 301 (The Board of Trustees of the University of Alabama*, Board Man­ual*, REV 6/2009).

*7.5.2.3.Tenure for Individuals in Administrative Appointments* Board Rule 301 (The Board of Trustees of the University of Alabama, *Board Manual*, REV 6/ 2009) states that administrative appointments do not carry tenure, but that an administrative ofﬁcer also may hold an appropriate academic appointment and may earn tenure in that ap­pointment under the criteria and procedures described below. Administrators hired with ten­ured faculty status must meet the criteria for tenure articulated in Section 7.5.2 and must meet the criteria articulated in Section 7.5.3 for appointment to their appointed rank.

**7.5.3.Speciﬁc Criteria by Rank: Tenure-Track and Tenured Faculty**

Departments and colleges may establish additional criteria by rank that are consistent with the university-wide standards articulated in this section. Departmental and college criteria by rank shall be placed on ﬁle with the Provost’s ofﬁce and the appropriate dean’s ofﬁce.

*7.5.3.1.Instructor*

Appointment at this rank is reserved for individuals who are candidates for the terminal degree within a pertinent discipline. The appointment is tenure-track with the expectation that subse­quent appointment to assistant professor will be made upon the university's receipt of certiﬁ­cation that the faculty member has completed all requirements for the terminal degree. An in­structor also must show potential to perform effectively in the three areas of activity on which faculty are evaluated: (1) teaching, (2) scholarly and/or creative achievements; and (3) service. Prior teaching experience is not essential.

*7.5.3.2.Assistant Professor*

An assistant professor must have the terminal degree in a pertinent discipline, except where the individual has achieved equivalent status through outstanding performance. An assistant professor also must show potential to perform effectively in the three areas of activity on which faculty are evaluated: (1) teaching, (2) scholarly and/or creative achievements, and (3) service. Prior teaching experience is not essential.

*7.5.3.3.Associate Professor*

An associate professor must have the terminal degree in a pertinent discipline, except where the individual has achieved equivalent status through outstanding performance. An associate professor also must show superior achievement in either teaching or in scholarly and/or crea-tive achievements and high levels of effectiveness in other areas of activity on which faculty are evaluated: (1) teaching, (2) scholarly and/or creative achievements, and (3) service, with a bal­ance consistent with the expectations of the discipline.

*7.5.3.4.Professor*

A professor must have the terminal degree in a pertinent discipline, except where the individual has achieved equivalent status through outstanding performance. A professor also must have attained authoritative knowledge and reputation in a recognized ﬁeld of scholarly and/or crea­tive achievements and must have maintained high levels of effectiveness in teaching and in service.

**7.5.4.Speciﬁc Criteria by Rank: Clinical, Research, and Library Faculty**

The responsibilities of clinical faculty and the responsibilities of research faculty vary signiﬁ­cantly across colleges and departments. Clinical, research, and library faculty may have re­sponsibilities in one or more of four areas of activity: (1) teaching, (2) scholarly and/or creative achievements, (3) service, and (4) clinical and professional practice. The speciﬁc responsibili­ties of a clinical, research, or library faculty member in each of these areas will be stipulated by the department and college in which the faculty member is employed. The criteria in this sec­tion form the basis for evaluating clinical, library, and research faculty members for appoint­ment, performance reviews, promotion, and salary increases. Each college and department employing clinical, research, and library faculty is responsible for developing additional criteria consistent with these university-wide standards and the responsibilities of clinical and research faculty in their unit. Departmental and college policies pertaining to the responsibilities of and criteria for evaluating clinical, library, and research faculty shall be placed on ﬁle with the Pro­vost’s ofﬁce and the appropriate Dean’s ofﬁce.

*7.5.4.1.Clinical and Library Instructors*

A clinical or library instructor must have a master's degree in a pertinent discipline and must meet other criteria for certiﬁcation and achievement set by the department or college. For li­brary faculty, appointees must hold the MLS degree from an American Library Association (ALA) accredited program; the MLS is considered the terminal degree in practice of academic librarianship. A clinical or library instructor must show potential to perform effectively in the ar­eas of activity (i.e., teaching, scholarly and/or creative achievements, service, and clinical and professional practice) for which the faculty member has responsibilities.

*7.5.4.2.Clinical, Research, and Library Assistant Professors*

A clinical or library assistant professor must meet all the criteria for clinical or library instructor, respectively. Clinical and research assistant professors must hold a minimum degree in a perti­nent discipline (a Master’s or doctoral degree, in accordance with requirements set by the de­partment or college); library assistant professions must hold the MLS degree from an American Library Association (ALA) accredited program. Clinical, research, and library assistant profes­sors must also meet criteria established by the college or department in the areas of activity (i.e., teaching, scholarly and/or creative achievements, service, and clinical and professional practice) for which the faculty member has responsibilities.

*7.5.4.3.Clinical, Research, and Library Associate Professors*

A clinical associate professor must meet all criteria for clinical assistant professor. A research associate professor must meet all criteria for research assistant professor. A library associate professor must meet all the criteria for library assistant professor. In addition, the individual must possess the terminal degree in a pertinent discipline, as required by department and col­lege criteria or have achieved equivalent status by meeting other criteria established by the de­partment or college. The clinical associate professor, the research associate professor, or the library associate professor must show superior achievement in each of the areas of activity (i.e., teaching, scholarly and/or creative achievements, service, and clinical and professional practice) for which the faculty member has responsibilities in accordance with criteria estab­lished by the department and college in which the appointment is held.

*7.5.4.4.Clinical, Research, and Library Professors*

A clinical professor must meet all criteria for the rank of clinical associate professor. A research professor must meet all criteria for the rank of research associate professor. A library professor must meet all criteria for the rank of library associate professor. A clinical, research, or library professor also must have attained authoritative knowledge and reputation in either scholarly and/or creative achievements or in clinical and professional practice and must have maintained high levels of effectiveness in the other areas of activity (teaching and service) for which the faculty member has responsibilities in accordance with criteria established by the department and college in which the appointment is held.

**7.6.College Criteria and Procedures Evaluating Faculty**

Each college and the Library are responsible for developing college-level criteria for evaluating their faculty and candidates for faculty positions and for developing college-level procedures for evaluating college faculty for reappointment, annual performance evaluations, promotion, tenure, and post-tenure review. Such criteria shall provide greater speciﬁcity related to college expectations and processes, but must be consistent with the criteria procedures established in the *Faculty Handbook*.

**7.6.1.Procedures for Developing College Criteria and Procedures**

The College’s Promotion and Tenure Advisory Committee (PTAC) shall be responsible for de­veloping and conducting periodic reviews of college-level criteria and procedures for evaluating faculty and candidates for faculty positions in the College. PTAC shall conduct a review of such college-level criteria and procedures at least once in every ﬁve years. PTAC proposals for new or revised college-level criteria and procedures shall be presented to the tenured faculty of the College for consideration. **New or revised criteria and procedures shall require a consen­**sus of all the departments, as determined by a majority vote of the tenured faculty in each department.

Each college shall submit copies of its college-level criteria and procedures for evaluating fac­ulty and candidates for faculty positions to the Provost. The Provost’s Ofﬁce shall maintain a website posting such criteria and procedures for each college. All faculty members shall have access to the website.

**7.7.Evidence and Faculty Files**

Faculty personnel ﬁles are maintained in a number of locations, including the department, the Dean's ofﬁce, the Ofﬁce of the Provost, and the Ofﬁce of Human Resources. The ofﬁcial faculty personnel ﬁle, including original, ofﬁcial transcripts, is maintained in the Dean's ofﬁce.

**7.7.1.A Faculty Member’s Comprehensive Digital File**

The Provost is responsible for establishing and maintaining for each faculty member a secure, password-protected electronic site, henceforth referred to as the Comprehensive Digital File (CDF), for depositing electronic copies of all documents used in and generated by performance reviews of that faculty member, including annual performance, reappointment, tenure, promo­tion, and salary reviews. The faculty member shall place items (e.g., books) that cannot be made available electronically in his or her Departmental Ofﬁce. Figure 7.7.1 portrays the struc­ture of the CDF.

The faculty member shall have full access to read all documents in the CDF except the con­tents of the Letters Folder and the Reports and Recommendations Folder. Letters from external peer reviewers for promotion and tenure shall be made available to the faculty member in re­dacted form in accordance with Section 7.10.15. Departmental (or Faculty) Committee, PTAC, URB, Department Chair’s, and Dean’s reports and recommendations for promotion and tenure shall be made available to the faculty member in redacted form in accordance with Sections 7.10.8, 7.10.11, and 7.10.15.

The faculty member’s Department Chair and Dean, and the Provost shall have full access to read all documents in the faculty member’s CDF. Members of all committees responsible for conducting performance reviews of the faculty member shall have full access to read all docu­ments in the faculty member’s CDF for the duration of their period of service on the faculty member’s performance review committee.

The Provost shall establish procedures for adding and for modifying documents in a faculty member’s CDF. No documents may be added to a faculty member’s CDF, and no documents in the folder may be modiﬁed without notifying the faculty member.

The faculty member and the Department Chair are jointly responsible for preparing the faculty member’s documents for inclusion in the CDF prior to the ﬁrst review of the faculty member’s performance and updating it prior to each subsequent performance review.

The CDF must include, but is not limited to documents and folders described in the remainder of this section and in Figure 7.1.1. The faculty member may supply any additional evidence that appears appropriate to the evaluation.

Insert Figure 7.7.1 here.

*7.7.1.1.Cover Page and Index*

This document shall be prepared by the faculty member and shall include the following infor­mation: (1) the faculty member’s name, department, college, and current rank; (2) the faculty member’s hire date; (3) the effective dates of promotion and tenure for the faculty member, if applicable; (4) for tenure-track faculty members, the ﬁnal year in which the faculty member may be reviewed for tenure; (5) for tenure track, clinical, research, and library faculty, the year of the faculty member’s next reappointment review; and (6) an index of the contents of the Scholarly and Creative Achievements Folder, the Teaching Folder, the Service Folder, the Clinical and Professional Activities Folder, and the Other Documents Folder.

*7.7.1.2.Faculty Member’s Statement*

This brief document (1-3 pages) shall be prepared by the faculty member and shall summarize the faculty member’s past accomplishments and contributions as well as planned future con­tributions in each of the areas of faculty activity: (1) scholarly and creative achievements, (2) teaching, and (3) service, and for clinical and library faculty, (4) clinical and professional prac­tice. For tenure-track faculty and for faculty under review for promotion or tenure, the discus­sion of scholarly and creative achievements will cover his or her full career, whereas the dis­cussion of teaching and service will cover the entire probationary period at UAH. For other fac­ulty, the summary of accomplishments and contributions will focus on the most recent ﬁve year period.

*7.7.1.3.Curriculum Vita*

This document, which shall be prepared by the faculty member, is the faculty member’s current curriculum vita summarizing his or her activities and accomplishments.

*7.7.1.3.1.Content of the Curriculum Vita*

The curriculum vita should have sections and subsections for each of the broad categories of scholarly and creative achievements, teaching, and service delineated below. Clinical and li­brary faculty should have a section for accomplishments in clinical and professional practice.

(1) *Scholarly and/or creative achievements*. This section and the subsections below may be subdivided by subcategories relevant to the faculty member’s discipline. Colleges and de­partments are responsible for developing guidelines for what categories and subcategories to include. It shall include achievements for the faculty member’s entire career, with sub­sections for each of the following categories of achievement that are applicable to the fac­ulty member. Items in each subsection shall be listed in reverse chronological order.

(a) *Publications and work accepted for publication*. This section should include subsec­tions for each of the following categories of scholarly and/or creative achievements that are relevant to the faculty member’s work: books, journal articles, book chapters, pub­lished conference proceedings, and other categories of publication that are appropriate to the faculty member’s discipline. In general, publications in both electronic and print publications should be included. Work that has been accepted for publication but has not yet been published should be designated as “accepted for publication.” Copies of

correspondence verifying the acceptance of such work must be included in the evi­dence of scholarly and creative achievements (Section 7.7.1.5).

(b) *Work in progress*. This section should include subsections for scholarly and creative achievements that are undergoing a peer-or jury-review process, but have not yet been accepted for publication or performance and a subsection describing projects in prepa­ration to be submitted for review.

(c) *Presentations*. This section should include presentations on the faculty member’s scholarly and/or creative achievements.

(d) *Performances and exhibits*.

(e) *Musical compositions, arrangements, and recordings*.

(f) *Achievements in the visual arts*.

(g) *Grants supporting research and other scholarly or creative work, grant proposals, and reports to funding organizations*.

(h) *Patents*.

(i) *Awards, prizes, and other forms of recognition of scholarly or creative achievements*.

(j) *Invitations to give presentations, performances, or exhibits*.

(k) *Other forms of scholarly and creative achievements*. Colleges and departments are responsible for developing guidelines for what other categories and subcategories to include.

(2) *Teaching*: This section should report teaching activities and accomplishments for the entire probationary period for tenure-track faculty members and for the last ﬁve years for other faculty. It should include the following subsections, with all items in each subsection listed in reverse chronological order.

(a) *Courses taught for UAHuntsville*. This subsection should include courses taught for UAHuntsville during the entire probationary period for tenure-track faculty members and during the past ﬁve years for other faculty, enrollments and teaching evaluation scores for those courses organized into a table as follows:

(b) *Advising and mentoring of undergraduate students*.

(c) *Service on doctoral dissertation committees*. For each committee, indicate the name of the student, the year(s) the faculty member served, the faculty member’s role, the dissertation topic, and the state of the dissertation work (e.g., pre-prelim, completed).

(d) *Service on masters thesis committees*. For each committee, indicate the name of the student, the year(s) the faculty member served, the faculty member’s role, the thesis topic, and the state of the thesis work (e.g., completed).

(e) *Other advising and mentoring of graduate students*. Specify date(s), student name, and faculty member’s role.

(f) *Curriculum development activities*.

(g) *Teaching awards, prizes and other forms of recognition*.

(h) *Guest lectures and presentations on pedagogical topics*.

(i) *Other teaching activities*. Colleges and departments are responsible for developing guidelines for what other categories and subcategories to include.

(3) *Service*. This section should report service activities and accomplishments for the entire probationary period for tenure-track faculty members and for the last ﬁve years for other faculty. It should include the following subsections, with items in each subsection listed in reverse chronological order.

(a) *Service to the university*. This section should report service to the faculty member's department and college as well as university-level service activities, including the date(s) of service for each activity listed, with activities in each subsection listed in re­verse chronological order.

(b) *Professional service*. This section should list professional service activities, with as­sociated dates, in reverse chronological order. It should include service to learned and professional societies, and service as an editor or referee for scholarly or creative publi-cations, service as a reviewer for funding organizations, and other service to the faculty member’s profession.

(c) *Community service*. This section should list activities and accomplishments involving service to the local, state, national and international communities. It should include out­reach activities; non-research presentations on professional topics; services or consul­tation provided to business, media, government, cultural, educational, political, and health-care organizations; as well as other community service activities.

(d) *Service awards, prizes and other forms of recognition*.

(e) *Clinical and professional practice*. Clinical and library faculty shall include this sec­tion, which should report activities and accomplishments in clinical and professional practice for the last ﬁve years. The Library dean and faculty are responsible for develop­ing guidelines for appropriate categories of activities for library faculty to report. Each college employing clinical faculty is responsible for developing guidelines for appropri­ate categories of activities to report. There should be a subsection for reporting awards, prizes and other forms of recognition. All items in each subsection should be listed in reverse chronological order.

(f) *Consulting*.

(g) *Other*. Colleges and departments are responsible for developing guidelines for what other categories and subcategories to include.

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Courses TTaught for Ufor UAAHuntuntsvillle  |  |
| Term/ Year  | Course P fix/ Prefix/ Number  | Credits  | Title  |  | Class sizesize  | Percrcent of Cl ivi of Class Re Re­ceeiving:ng:  | SIEIE  |
| Total Item (N)  | Globaobal Item ing e m: % (N ng each sc % (N) re core: ) receiv- |
| A  | B  | C  | D  | F  | 1  | 2  | 3  | 4  | 5  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |

*7.7.1.3.2.Organization of the Curriculum Vita*

Within each section or subsection, there should be separate listings for achievements that have been subjected to a peer-review or a jury-review process and for achievements that have not been subjected to such review processes. Items within a section or subsection must be listed in reverse chronological order. Listings of co-authored works must identify all co-authors in or­der of authorships; other collaborative works should list all collaborators. Co-authored and col­laborative listings for items in the most recent 6 years must include a short statement summa­rizing the nature of the faculty member’s contribution to the work (e.g., “All co-authors contrib­uted equally to the project.” “I was the principal investigator/lead author on this project.” “I conducted the data analyses and wrote the empirical results section.”).

*7.7.1.4.Past Performance Evaluations Folder*

This folder shall be prepared by the faculty member’s Department Chair and shall include the following documents:

(1) Copies of annual performance evaluations conducted during the entire probationary pe­riod for tenure-track faculty and for the preceding ﬁve years for other faculty, as identiﬁed in Section 7.8.1.

(2) Copies of all reports and recommendations for prior reappointment reviews conducted in accordance with Sections 7.8.1 through 7.8.6 for the entire probationary period for tenure-track faculty and for the preceding ﬁve years for other non-tenured faculty.

The contents of this folder shall be print-protected.

For tenured and non-tenure track faculty members, by May 1 of each year the Department Chair shall remove reports and recommendations that are more than 5 years old.

*7.7.1.5.Scholarly and/or Creative Achievements Folder*

This folder shall be prepared by the faculty member and shall include representative evidence of the faculty member’s scholarly and/or creative achievements. The evidence should be or­ganized into appropriate subfolders corresponding to the different subsections under “Schol­arly and/or Creative achievements” in the faculty member’s curriculum vita. This folder also should include a subfolder for copies of correspondence verifying the acceptance of work ac­cepted for publication.

*7.7.1.6.Teaching Folder*

This folder shall be prepared by the faculty member and shall include representative evidence of the faculty member’s activities and performance related to teaching competence and inno­vation. Where appropriate, the evidence should be organized into appropriate subfolders.

The contents of this folder shall be print-protected.

*7.7.1.7.Service Folder*

This folder shall be prepared by the faculty member and shall include representative evidence of the faculty member’s service to the university, the profession or discipline, and the commu­nity (local, state, national and international). Such evidence might include but not be limited to: letters of appointment, correspondence, recognitions, editorial and refereeing responsibilities, service contracts/grants received (agency or foundation, title, dollar amount, time period), uni­versity committee assignments, outreach activities, etc. Where appropriate, the evidence should be organized into appropriate subfolders.

*7.7.1.8.Clinical and Professional Practice Folder*

This folder is required only for clinical and library faculty only. It shall be prepared by the faculty member and shall include representative evidence of the faculty member’s activities and per­formance in the area of clinical and professional practice. Where appropriate, the evidence should be organized into appropriate subfolders.

*7.7.1.9.Reports and Recommendations Folder*

This folder shall apply only to faculty members under review for reappointment, promotion and tenure. It shall include copies of reappointment, promotion and tenure recommendations and reports from Reappointment Committees, Departmental (or Faculty) Committees, PTAC, URB, the Department Chair or equivalent, and the Dean.

The folder shall be viewable only by the members of Reappointment Committees, Departmen­tal and Faculty promotion or tenure review committees, PTAC, URB, the Department Chair or equivalent, the Dean, and the Provost. The Provost shall erase the contents of this folder for promotion and/or tenure candidates by May 1 of the academic year in which the promotion, or tenure review takes place.

The contents of this folder shall be print-protected.

*7.7.1.10.Letters Folder*

This folder shall apply only to faculty members under review for promotion and/or tenure and shall included two subfolders. The ﬁrst subfolder shall include external peer review letters so­licited in accordance with Section 7.10.3. The second subfolder shall include other letters of support solicited in accordance with Section 7.10.4.1. The Department Chair is responsible for placing copies of the external peer review letters and other letters of support in this folder.

The folder shall be viewable only by the members of Departmental and Faculty review commit­tees, PTAC, URB, the Department Chair or equivalent, the Dean, and the Provost. The Provost shall erase the contents of this folder by May 1 of the academic year in which the promotion or tenure review takes place.

The contents of this folder shall be print-protected.

*7.7.1.11.Other Documents Folder*

This folder may apply to all decisions and shall include other documentation that supports the faculty member’s case for reappointment, promotion, or tenure. Where appropriate, the evi­dence should be organized into appropriate subfolders. The faculty member is responsible for placing other documents in this folder.

**7.8.Annual Performance Evaluation and Reappointment Procedures**

Each year tenured and tenure-track faculty are evaluated to provide feedback regarding the faculty member's progress toward meeting expectations for promotion and tenure, for salary adjustments, and, in cases where the faculty member's contract is due to expire at the end of the academic year, for reappointment. If the faculty member's contract is not due to expire at the end of the academic year, the review is conducted in accordance with the annual perform­ance evaluation procedure in Section 7.8.1. If the faculty member's contract is due to expire at the end of the academic year, the review is conducted in accordance with the reappointment procedures in Section 7.8.2 for tenure-track faculty, Section 7.8.3 for research faculty, Section

7.8.4 for clinical and library faculty and for lecturers, and Section 7.8.6 for adjunct faculty. Re­appointment is based on the current need of the university.

**7.8.1.Annual Performance Evaluation Procedure**

The Department Chair or equivalent is responsible for conducting annual performance evalua­tions for all tenured, clinical, and library faculty, as well as for lecturers and for research faculty with appointments in academic departments. For research faculty members who do not have appointment in academic departments, the Dean shall be responsible for conducting a similar annual performance review procedure. The Department Chair or equivalent also is responsible for conducting an annual performance evaluation for each tenure-track faculty member in the department in years in which the faculty member does not undergo a reappointment review in accordance with Section 7.8.2.

Annual performance evaluations will evaluate the faculty member’s performance in each of the areas of activity (i.e., scholarly and creative achievements, teaching, service, professional and clinical practice) for which the faculty member has responsibilities, based on the faculty mem­ber's record for the entire probationary period for tenure-track faculty and for the past ﬁve years for other faculty.

*7.8.1.1.Purpose*

Annual performance evaluations are developmental in nature and are designed to provide feedback to faculty members that will help them to improve performance and/or maintain ef­fective performance. Annual performance evaluations are also used as a foundation for making decisions pertaining to salary increases. For tenure-track faculty members, annual performance evaluations provide feedback regarding the faculty member's progress toward meeting expec­tations for reappointment and tenure in years that the faculty member is not under review for reappointment or tenure. Annual performance evaluations also provide feedback regarding the faculty member's progress toward meeting expectations for promotion in rank.

*7.8.1.2.Schedule and Procedure*

(a) The Department Chair or equivalent shall notify each faculty member by February 1 that the faculty member needs to prepare or update his or her Comprehensive Digital File. For tenure-track faculty, the review shall incorporate written feedback on the faculty mem­ber's teaching, scholarly and/or creative achievements, and service from tenured mem­bers of the department; procedures for incorporating such feedback shall be adopted by each college in accordance with Section 7.6.1. For research faculty members, the Chair or equivalent shall notify the Director of the Center with which the research faculty mem­ber is afﬁliated to request a written evaluation of the faculty member’s performance. The latter shall be made available to the faculty member and added to his or her Comprehen­sive Digital File.

(a) The faculty member shall update his or her Comprehensive Digital File by April 1. Prior to initiating any performance review, the Chair shall be responsible for updating the Let­ters Folder, the Reports and Recommendations Folder, and the Past Performance Evaluations Folder, including ensuring that documents have been removed in accordance with Sections 7.7.1.4, 7.7.1.9, and 7.7.1.10.

(b) The Chair shall prepare a written Annual Performance Evaluation, which shall include: (1) a written statement evaluating the faculty member's performance in the three areas of teaching, scholarly and/or creative accomplishments, and service, and for library and clinical faculty, clinical and professional practice; and (2) the Annual Performance Evalua­tion Rating Form, below.

|  |
| --- |
| ANNUAL PERFORMANCE EVANNUAL PERFORMANCE EVANNUAL PERFORMANCE EVALUATION RATION RATING FORM  |
|  | Exceptional Performance  | Exceeds Expectations  | Meets Expectations  | Below Expectations  | Unacceptable Performance  |
| Teaching  |  |  |  |  |  |
| Scholarly &/or Creative Achievements  |  |  |  |  |  |
| Service  |  |  |  |  |  |
| Clinical & Pro­fessional Prac­tice (clinical & library faculty only)  |  |  |  |  |  |
| Overall  |  |  |  |  |  |
|  |

For tenure-track faculty members, the Chair's written evaluation shall also incorporate any comments and suggestions of other tenured faculty members in the department.

In rating the performance of a department’s faculty, the Chair shall not use any forced distribu­tion which limits the number or share of faculty members receiving a given rating, because such forced distributions make artiﬁcial distinctions when the variance in actual performance is low. In rating a faculty member’s overall performance, the Chair shall weight teaching, scholarly and/or creative achievements, and service performance consistent with the faculty member’s responsibilities in each of those areas of activity.

(c) The Chair shall give the written evaluation and the rating form to the faculty member prior to the annual performance review discussion.

(d) The Chair shall meet with the faculty member by April 30 to discuss his or her perform­ance evaluation. As a basis for the discussion, the Chair shall provide the faculty member with a copy of his or her Annual Performance Evaluation. To assure that the review is a two-way experience, the Chair shall give the person being reviewed a full opportunity to discuss strengths and weaknesses, problems, and ways in which the Department Chair, or other colleagues, might be helpful in improving performance. Following this meeting, the Chair may modify the Annual Performance Evaluation based on information provided by the faculty member during the meeting. The Chair shall provide the faculty member with the ﬁnalized copy of the Annual Performance Evaluation.

(e)The faculty member may prepare a written response to the Chair's evaluation. The fac­ulty member shall give any such written response to the Chair within three weeks after the performance review discussion.

(f) After the annual performance evaluation meetings with faculty in the department, the Chair shall provide the Dean with copies of the Annual Performance Evaluation for each

faculty member in the department as well as any written responses by the faculty mem­bers to the Chair. The Chair shall meet with the Dean to discuss the evaluations.

The Chair's Annual Performance Evaluation of a faculty member and any written responses that may be made by the individual become part of the faculty member's Comprehensive Digi­tal File.

**7.8.2.Reappointment of Tenure-Track Faculty**

*7.8.2.1.Schedule of Reappointment Reviews and Contracts for Tenure-Track Faculty*

A tenure-track faculty member whose probationary period, as speciﬁed in the letter of offer, is for six years, or in cases where the initial appointment to a tenure-track faculty position began in the spring semester, whose probationary period contract ends no more than six years from the beginning of the ﬁrst fall semester following the date of initial appointment, shall be re­viewed for reappointment in accordance with the schedule of reappointment reviews in Table

7.8.2.1. In the spring of the third full academic year, the faculty member shall be reviewed in accordance with procedures described in Section 7.8.2.2. This review requires no reappoint­ment recommendation. A tenure-track faculty member whose probationary period, as speciﬁed in the letter of offer, is for less than six years, shall be reviewed for reappointment in accor­dance with timetable established in the faculty member’s letter of offer.

|  |
| --- |
| **Table. 7.8.2.1 Reappointment Schedule for Faculty Members with a Prable. 7.8.2.1 Reappointment Schedule for Faculty Members with a Prable. 7.8.2.1 Reappointment Schedule for Faculty Members with a Probationary Period of Six or Morobationary Period of Six or More Years**  |
| **Appointment & Reappointment**  | **Year in Fac-** | **Scheduled Reappoint-** | **Action/Status if Not Reappointed by**  |
| **Contract Durations**  | **ulty Mem­** | **ment Reviews by Year in**  | **Year in Probationary Period**  |
|  | **ber’s Proba-** | **Probationary Period**  |  |
|  | **tionary**  |  |  |
|  | **Period**  |  |  |
| The initial appointment contract for tenure-track faculty members shall tenure-track faculty members shall be for three academic years for faculty members whose initial ap­pointment begins in the Fall se­mester and for three-and-a-half academic years for faculty mem­bers whose initial appointment begins in the Spring semester, contingent on the faculty mem­ber’s completion of all require­ | 1st full year  | none  | Not applicable  |
| 2nd full year  | *First reappointment re­view.* In Spring of the sec­ond full academic year of the faculty member’s ini­tial appointment contract, the faculty member shall be reviewed for reap­pointment through 4th & 5th academic years in the  | Not applicable  |
| ments for his or her terminal de­gree by the end of the ﬁrst full academic year of the appointment. See Section 7.2.1.2.  |  | faculty member’s proba­tionary period in accor­dance with the procedure described in Section 7.8.2.2.  |  |
| 3rd full year  | Review according to Sec­tion 7.8.2.2, but not for reappointment.  | If a tenure-track faculty member is not reappointed in the ﬁrst reappointment review, the third year in the faculty member’s probationary period is his or her terminal year of employment as a tenure-track faculty member.  |
| The ﬁrst reappointment contract for a tenure-track faculty member shall be for two academic years, the 4th and 5th full academic years in the faculty member’s probation­ary period.  | 4th full year  | *Second reappointment review.* In Spring of the fourth full academic year of the faculty member’s probationary period, the faculty member shall be reviewed for reappoint­ment through the 6th & 7th academic years in accor­dance with the procedure described in Section 7.8.2.2.  | Not applicable  |
| 5th full year  | none  | If a tenure-track faculty member is not reappointed in the second reappoint­ment review, the ﬁfth full academic year in the faculty member’s probationary period is his or her terminal year of em­ployment as a tenure-track faculty member.  |
| The second reappointment con­tract for a tenure-track faculty tract for a tenure-track faculty member shall be for two academic years, the 6th and 7th full academic years in the faculty member’s pro­bationary period.  | 6th full year  | None (tenure review year)  | Not applicable  |
| 7th full year  | none  | Terminal year if not tenured  |
|  |  |  |  |

*7.8.2.2.Reappointment Procedure for Tenure-track Faculty.*

The Department Chair shall notify the faculty member of the upcoming reappointment review by December 15. At this time the Department Chair shall meet with the faculty member and discusses the reappointment review process. By February 1 the faculty member and the De­partment Chair shall update the faculty member's Comprehensive Digital File as described in Section 7.7.1.

After consultation with the Dean, the faculty member, and with prospective committee mem­bers, the Department Chair shall appoint a Reappointment Review Committee. The Committee shall consist of at least two tenured faculty members in the candidate's department, or equiva­lent, and at least one tenured faculty member from another department in the candidate's col­lege, or from outside the college in units without departments. In cases where there are not enough tenured faculty members in the department, the Chair shall appeal to the Dean for a variance in the composition of the review committee.

The Reappointment Review Committee shall assess the qualiﬁcations of the candidate for re­appointment. In its deliberations, it shall consider the contents of the faculty member's Com­prehensive Digital File and render a professional judgment on the candidate's strengths and weaknesses. The Committee shall prepare a detailed written report stating its recommendation for or against reappointment and a written rationale including the positive and negative factors that inﬂuenced the recommendation made by reviewer(s). The Committee Report shall include a signature page that shall be signed by all committee members and reveal the number of votes for each recommendation. If the votes are not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, re­spectively. Copies of the Committee's Report must be transmitted to the Chair by March 1.

The Department Chair shall prepare an independent report recommending for or against reap­pointment and a written rationale for the recommendation. The Chair shall transmit this report and the Reappointment Review Committee's report(s) to the Dean no later than April 1.

The Dean shall review the report with the Provost and discusses possible actions by April 20. The Dean shall notify the faculty member in writing of the reappointment decision by May 1.

**7.8.3.Reappointment Procedure for Research Faculty**

The probationary period for research faculty is from four to seven years, as speciﬁed in the let­ter of appointment and depending upon the qualiﬁcations and experience of the individual. All research faculty appointments are for one year. Probationary research faculty members are subject to annual review for reappointment or non-reappointment. This review is conducted concurrently and following the same procedure as the annual performance evaluation (Section 7.8.1). Research faculty members who are reappointed beyond their stipulated probationary period are given an appointment that continues indeﬁnitely without the need for annual reap­pointment reviews, until such time as support is not generated or notice of termination is is­sued by the appropriate university ofﬁcial.

**7.8.4.Reappointment Procedure for Clinical and Library Faculty and Lecturers**

The term of appointment for clinical and library faculty and for lecturers is speciﬁed in the letter of appointment. Such faculty appointments are for one to three years and are subject to annual review prior to reappointment or non-reappointment. Reappointment decisions are based on needs, including ﬁnancial considerations, of the administrative unit in which the faculty mem­ber is employed, as well as the prior annual faculty evaluations. Reappointment procedures parallel those for tenure-track faculty.

The Department Chair or equivalent shall notify the faculty member of the upcoming review by December 15. At this time the Department Chair shall meet with the faculty member and dis­cusses the reappointment review process.

During the academic year in which the review is conducted, the faculty member and the De­partment Chair or equivalent shall prepare the faculty member's Comprehensive Digital File as described in Section 7.7.1 by January 15.

After consultation with the Dean, faculty member, and prospective committee members, the Department Chair or equivalent shall appoint a Reappointment Review Committee. The Com­mittee for clinical faculty members shall consist of at least two tenured faculty members and one clinical faculty member from the candidate's department or, in the case of Nursing faculty, the clinical faculty member’s College. The Committee for lecturers shall consist of at least two tenured faculty members and one lecturer from the candidate's department.

The Library Faculty shall develop a proposal for a similar process for appointing a Reappoint­ment Review Committee for library faculty members and shall submit that proposal to the Fac­ulty Senate Executive Committee for approval. Subsequent to obtaining such approval, that process shall be incorporated into relevant sections of the Faculty Handbook.

Committee members should be at a rank equal to or higher than the candidate being reviewed. The Reappointment Review Committee shall assess the performance and qualiﬁcations of the candidate for reappointment. In its deliberations, it shall consider the contents of the faculty member's Comprehensive Digital File and render a professional judgment on the candidate's strengths and weaknesses. The Committee shall prepare a detailed written report stating its recommendation for or against reappointment and a written rationale including the positive and negative factors that inﬂuenced the recommendation made by reviewer(s). The Committee Re­port shall include a signature page that shall be signed by all committee members and reveal the number of votes for each recommendation. If the votes are not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, respectively. Copies of the committee report are transmitted to the Chair or equivalent by:

March 1: Faculty beyond the ﬁrst year of employment

February 15: Faculty in ﬁrst year of employment.

The Chair or equivalent shall prepare an independent recommendation report. The Chair's re­port shall take into account not only the candidate's performance but also the curricular needs and ﬁnancial resources of the college. The Chair shall give both the Chair's and Committee's reports to the Dean by:

April 1: Faculty beyond the ﬁrst year of employment

February 28: Faculty in the ﬁrst year of employment.

The Dean shall review the reports with the Provost and discusses possible actions. The Dean shall notify the faculty member in writing of the reappointment decision by:

May 1: Faculty beyond the ﬁrst year of employment

March 15: Faculty in the ﬁrst year of employment.

The Department Chair shall meet with reappointed faculty to discuss concerns and to plan ob­jectives for the next year(s).

**7.8.5.Reappointment Procedures for Visiting and Temporary Faculty**

Visiting and temporary faculty normally are not subject to reappointment processes. However, after serving a successful term of appointment, if demand in the academic department war­rants appointment again in the future, they may be appointed again in accordance with ap­pointment procedures in Section 7.3.2.2.

**7.8.6.Reappointment Procedure for Adjunct Faculty**

Recommendations for reappointment of adjunct faculty are the responsibility of the department in which the faculty member has an appointment. The Department Chair shall appoint a Reap­pointment Committee consisting of at least three tenured or tenure-track faculty members ap­pointed by the Department Chair. The committee shall write an evaluation of the individual's performance and a statement of the need for his or her continued services. Recommendations for reappointment or non-reappointment are submitted by the Department Chair to the Dean as soon as possible prior to the end of the candidate's current appointment. The Dean, with the approval of the Provost, issues a letter of reappointment or non-reappointment.

As part of the reappointment committee's evaluation, the committee may, at its own discretion, review the rank of the individual and recommend reappointment to a higher rank. A complete written review of the criteria for this recommendation must be included as part of the overall reappointment recommendation. Reappointment at a higher rank shall require an afﬁrmative vote by a majority of the tenured faculty in the department and by PTAC, as well as the ap­proval of the Department Chair and the Dean.

**7.9.Promotion and Tenure Procedures for Tenure-Track and Tenured Faculty**

For the purpose of this section, administrators who do not have tenure may not participate in the tenure and promotion review processes. College and departmental procedures may not conﬂict with the procedures speciﬁed in this section.

**7.9.1.Initiation of Promotion and Tenure Reviews**

By April 15 of each academic year the Provost shall provide deans and department chairs with a list of faculty under mandatory tenure consideration during the coming academic year and shall notify all faculty of the May 15 deadline for promotion and tenure applications.

*7.9.1.1.Tenure review during the last year of candidate’s probationary period*

By May 15 of the academic year before the tenure review, the Department Chair or equivalent shall notify the candidate that the tenure evaluation process is to begin. This tenure review process occurs no later than the last year in the candidate's probationary period as deﬁned in Section 7.2.1.1 or by an extension of the probationary period in accordance with Section

7.2.1.4.

*7.9.1.2.Early tenure review*

A tenure-track faculty member may be considered for early tenure as deﬁned in Section 7.5.2.1 in a year that the faculty member’s letter-of-offer speciﬁes that an early tenure review may take place or, in cases where the Department Chair or equivalent believes the candidate meets the criteria for early tenure speciﬁed in Section 7.5.2.1, in a year that is agreed upon by the candi­date and the candidate's Department Chair or equivalent. The Department Chair and the can­didate for early tenure shall decide by May 15 of the academic year before the early tenure re­view year that the tenure evaluation process is to begin. A candidate for early tenure may with­draw from consideration at any point in the review process without prejudice to future tenure review.

*7.9.1.3.Tenure review of administrative ofﬁcers*

Board Rule 301 (The Board of Trustees of the University of Alabama, *Board Manual*, REV 6/ 2009) states that an individual holding an administrative appointment may be considered for tenure and requires that administrative ofﬁcers being considered for tenure be subject to the usual review process set forth in the *Faculty Handbook*. Tenure review procedures for adminis­trative ofﬁcers shall apply to administrative appointments at the level of department chair and above.

In cases where the administrative ofﬁcer has a tenure-track faculty appointment, the Depart­ment Chair or equivalent shall initiate the tenure review process by May 15 in accordance with Section 7.10.1.1 or with Section 7.10.1.2, whichever is applicable.

In cases where the candidate is seeking tenure at the time of ﬁrst appointment, the Department Chair (or equivalent) of the department (or college) in which the candidate is seeking a tenured faculty appointment shall initiate the tenure review process. In such cases, the Chair and the search committee are responsible for providing faculty review committees with information that would normally be contained in a tenure candidate’s comprehensive ﬁle. If the candidate’s administrative appointment is outside of the department or college in which the candidate is seeking tenure, the Provost shall request that the Department Chair or equivalent initiate the tenure review process. In such cases, the Provost and the search committee are responsible for providing the Department Chair and faculty review committees with information that would normally be contained in a tenure candidate’s Comprehensive Digital File.

To ensure that a thorough review process takes place, if the review process is initiated during the academic year, at least three full weeks (excluding holidays, Fall Break, semester break, and Spring Break) shall be allowed for the review. If the review process is initiated outside of the academic year, at least four full weeks shall be allowed for the review and the Department Chair or equivalent and Dean shall be responsible for developing procedures that ensure that faculty members who are eligible to participate in the tenure evaluation process but are out of town can participate in the review process. In all cases, the candidate shall meet all criteria for tenure articulated in Section 7.5.2 as well as additional tenure criteria established by the de­partment and college.

*7.9.1.4.Promotion in Academic Rank*

A tenured or tenure-track faculty member may apply for promotion in rank by providing written notiﬁcation to the candidate’s department chair or equivalent, or, in a case in which the candi­date is a department chair, to the Dean, by May 15 of the year before the promotion review. A candidate may withdraw from consideration for promotion without prejudice at any time by written request to the Department Chair or equivalent.

**7.9.2.Review Levels, Reports, Recommendations, and Decisions**

Reviews for promotion and/or tenure take place at six levels in the following sequence: the Departmental Committee, the Department Chair or equivalent, the College Promotion and Ten­ure Advisory Committee (PTAC), the Dean, the University Review Board (URB), and the Pro­vost. In the College of Nursing, reviews take place at ﬁve levels, the Faculty Committee, the Associate Dean, the Dean, URB, and the Provost. Reviews at each level below the Provost are advisory to the Provost, who makes the ﬁnal decision.

*7.9.2.1.Departmental Committee, PTAC, and URB Reports and the Provost’s Decision*

At each level of review below the Provost, the reviewing body shall conduct a separate review and prepare a written report. Each report must include a written recommendation in accor­dance with Section 7.10.2.2 and a written rationale including the positive and negative factors that inﬂuenced the recommendation made by reviewer(s). The committee report (i.e., the De­partmental Committee or Faculty Committee in the College of Nursing, PTAC, URB) shall in­clude a signature page that shall be signed by all committee members and reveal the number of votes for each recommendation (i.e., Section 7.10.2.2). If the votes are not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, respectively.

*7.9.2.2.Recommendations and Decision*

*7.9.2.2.1.Tenure & Promotion to Associate Professor in Last Year of Probationary Period*

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That tenure and promotion be granted effective at the beginning of the following aca­demic year;

(b) That tenure and promotion not be granted.

*7.9.2.2.2.Tenure & Promotion to Professor in Last Year of Probationary Period*

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That tenure and promotion be granted effective at the beginning of the following aca­demic year;

(b) That tenure be granted effective at the beginning of the following academic year, but that the decision on promotion be deferred.

(c) That tenure and promotion not be granted.

*7.9.2.2.3.Early Tenure for Assistant Professors*

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That tenure and promotion be granted effective at the beginning of the following aca­demic year.

(b) That the decision on granting tenure and promotion be deferred.

(c) That promotion be granted effective at the beginning of the following academic year and that the decision on granting tenure be deferred.

*7.9.2.2.4.Early Tenure for Associate Professors or Professors*

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That tenure be granted effective at the beginning of the following academic year.

(b) That the decision on granting tenure be deferred.

*7.9.2.2.5.Tenure at Time of First Appointment*

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That tenure be granted effective on the ﬁrst day of employment.

(b) That the decision on granting tenure be deferred.

*7.9.2.2.6.Promotion for Candidates Not Being Considered for Tenure*

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That promotion be granted effective at the beginning of the following academic year.

(b) That the decision on granting the promotion be deferred.

**7.9.3.External Peer Review**

Because external peer review has played a long-standing role in evaluating scholarly and crea­tive achievements, a minimum of three letters from peer evaluators outside the university are required for all promotion and tenure reviews.

*7.9.3.1.Qualiﬁcations for External Peer Reviewers*

Ideally peer reviewers should be both expert and objective. Reviewers should have outstanding professional qualiﬁcations. Any signiﬁcant relationship (supervisory, collaborative, or social) be­tween the peer reviewer and the candidate should be disclosed both in the nomination of the peer reviewer and in the letter from the peer reviewer. Dissertation advisors may not serve as external reviewers. Whenever feasible, the set of peer reviewers should include members with no signiﬁcant relationship with the candidate.

*7.9.3.2.Procedure for Selecting External Peer Reviewers*

By May 20 in the academic year preceding the promotion and/or tenure review, the Department Chair shall solicit nominations of individuals to serve as external peer reviewers from the can­didate and members of the candidate’s department who are eligible to serve on promotion and tenure committees. The names of nominees to serve as external peer reviewers, along with supporting documentation of the nominee’s qualiﬁcations, must be submitted in writing to the Department Chair by June 15. The Department Chair shall select four external peer reviewers from the nominees; two of the four external peer reviewers must be taken from the list nomi­nated by the candidate.

*7.9.3.3.Procedure for Soliciting External Peer Reviews*

By June 15, the candidate shall provide the Department Chair with a packet of information to send to the external peer reviewers. The packet shall include a curriculum vitae and represen­tative examples of the candidate's scholarly and/or creative achievements.

By July 1, the Department Chair shall contact the external peer reviewers by telephone or email to ascertain their willingness to serve as a reviewer and to submit their review by August 15. If any of those selected decline to serve, the Department Chair shall select a replacement from the remaining nominees.

By July 1, the Department Chair shall send the packet of information to the external peer re­viewers along with a letter requesting that they assess the quality of the candidate's scholarly and/or creative achievements.

If fewer than three of the external peer reviewers have returned their reviews by August 15, the Department Chair shall solicit additional reviews from the nominees. By September 15, the De­partment Chair shall place in the candidate’s Comprehensive Digital File: (1) a summary of each external reviewer’s qualiﬁcations, (2) a copy of the letter sent to the external reviewers request­ing their assessment of the quality of the candidate's scholarly and/or creative achievements, and (3) the letters received from the external reviewers. The original letters submitted by exter­nal peer reviewers shall be placed in the faculty member’s personnel ﬁle in the Dean’s ofﬁce.

**7.9.4.Other Supporting Documentation**

*7.9.4.1.Other Letters of Support*

The candidate may also solicit up to ﬁve secondary letters of support from parties who can provide additional information about the candidate’s scholarly and/or creative achievements (e.g., co-authors and other collaborators, former students). By September 15, the Chair shall place such letters in the faculty member’s Comprehensive Digital File and shall submit the original letters of support to the Dean; the Dean shall place the originals in the faculty mem­ber’s personnel ﬁle in the Dean’s ofﬁce.

UAH Faculty Handbook (2013)

*7.9.4.2.Addition of Information to the Comprehensive Digital File*

No documents may be added to the Comprehensive Digital File after the review by the De­partmental Committee (or equivalent), other than updates to the status of existing publications, creative works, grant proposals, etc. If the candidate has relevant information to add prior to the completion of the review by the Departmental Committee, the candidate shall provide such information to the Department Chair, who shall place such information in the candidate’s Com­prehensive Digital File and notify the Departmental Committee of its addition. If the Departmen­tal Committee decides that additional information is needed, the Committee Chair shall request such information from the Department Chair, who shall obtain the missing information, place it in the candidate’s Comprehensive Digital File, and notify the candidate that the additional in­formation has been placed in the ﬁle.

If the candidate has relevant information to add after the completion of the review by the De­partmental Committee, the candidate may provide such information to the Department Chair (or equivalent) and the Dean, who may include it in their reports. If the Department Chair or Dean includes such information in their reports, they shall note in the report when they received it.

**7.9.5.Eligibility to Serve on and Selection of Promotion and/or Tenure Committees**

*7.9.5.1.Eligibility to Serve on Promotion and/or Tenure Committees*

Three faculty committees, the Departmental Committee (or Faculty Committee in Nursing), the College Promotion and Tenure Advisory Committee (PTAC), and the University Review Board (URB), participate in promotion and tenure review processes. University Administrators may not serve on these faculty promotion or tenure committees except in situations where a small de­partment requires their participation, as speciﬁed in Section 7.10.5.2. All other full-time tenured faculty members are eligible to serve. A faculty member who meets these eligibility criteria and who also is an administrator but not participating directly in the review process at a higher level is eligible to serve on the Departmental Committee. Such administrators must abstain from advising any higher level administrator making decisions in the review process.

University Review Board members must hold the rank of professor or associate professor, be tenured, and have at least ﬁve years of full-time academic experience on university faculties. Faculty members who are candidates for promotion and faculty members who hold an admin­istrative position at the level of department chair or higher are not eligible to serve on the URB. No member of the URB may serve on a PTAC.

*7.9.5.2.Composition and Selection of the Departmental Committee (or Faculty Committee in*

*Nursing)*

For the College of Nursing, the Faculty Committee will be the equivalent of the Departmental Committee and the Associate Dean will be the equivalent of the Department Chair.

By September 15 and after consultation with the candidate, the Dean, and with the faculty members eligible to serve as departmental committee members, the candidate’s Department Chair (or equivalent) shall form the departmental promotion and/or tenure committee for the candidate. If the candidate is the Department Chair, the candidate’s dean shall form the com­mittee.

The departmental promotion and/or tenure committee (or equivalent) shall consist of all faculty members in the candidate's department (or equivalent unit) who meet the eligibility require­ments speciﬁed in Section 7.10.5.1 and one eligible faculty member from another department. The latter member shall be selected by department chair in consultation with the candidate. The Department Chair does not serve on the departmental committee unless there are fewer than three eligible faculty members within the candidate's department, other than the Chair. In such cases, the Department Chair serves as a voting member of the committee and does not conduct a separate review.

For faculty holding joint appointments, the Department Chair (or equivalent) of the primary de­partment shall form the departmental committee, which shall consist of all tenured faculty members in the primary department and at least one tenured faculty member from the other department(s). The Chair of the primary department shall select the latter person. In cases of joint appointments, the procedures for the primary department shall be followed.

*7.9.5.3.Composition and Selection of the URB*

The University Review Board (URB) is composed of ﬁve faculty members, one from each of the colleges. The term of ofﬁce for URB members is two years and is staggered among the mem­bers.

The Dean of each college is responsible for supervising the election of the college’s representa­tive to URB. The Dean shall convene a nominating committee composed of the Dean and all department chairs in the college. By September 5, the nominating committee shall prepare a slate of at least two nominees who meet the eligibility requirements speciﬁed in Section

7.10.5.1.

The Dean shall conduct the election and shall notify the faculty of the college and the Provost of the results by September 20. Tenured and tenure-track members are eligible to vote by se­cret ballot in URB elections. In addition, research and clinical faculty members who have full-time appointments in the College and who are not on termination notice also are eligible to vote by secret ballot in URB elections.

By November 1, the Provost shall provide URB members with access to the Comprehensive Digital Files of all faculty members in the University who are under review for promotion and or tenure.

*7.9.5.4.Composition and Selection of the PTAC*

The Dean of each college is responsible for supervising the election of the college’s Promotion and Tenure Committee. The Dean shall convene a nominating committee comprised of the Dean and all department chairs in the college.

Prior to October 1, the nominating committee shall prepare a slate of at least ten nominees for PTAC who meet the eligibility requirements speciﬁed in Section 7.10.5.1 and the Dean shall announce the slate to the faculty who are eligible to vote on PTAC membership. Whenever possible, the nominating committee shall encourage diversity in slate of nominees.

By October 15, the Dean shall conduct a secret ballot election to select the PTAC membership and shall report the results of the election to the College’s faculty and to the Provost. The ballot shall contain the slate of ten nominees chosen by the nominating committee. All tenured and tenure-track faculty members of the college who are not on termination notice have the right to vote in the election. Each voter may vote for ﬁve of the nominees.

The ﬁve nominees with the most votes shall serve a one year term as regular members of PTAC. The nominees with the 6th and 7th highest number of votes shall serve a one year term as alternate members of PTAC. A PTAC member who has served on a candidate’s promotion and/or tenure committee is ineligible to participate in the PTAC review of that candidate and may not participate in the PTAC’s discussion or vote on that candidate. In such cases, alter­nate PTAC members replace the regular PTAC committee members who are ineligible to serve on the candidate’s PTAC. Alternate PTAC members also shall replace a PTAC member who is unavailable to serve.

By November 1, the Provost shall provide PTAC members and alternate members with access to the Comprehensive Digital Files of all faculty members in the College who are under review for promotion and or tenure.

In cases where there are not enough eligible faculty to serve on the PTAC for a candidate, the Dean shall consult with the Provost, who shall determine a suitable arrangement for a college-level review for that candidate.

**7.9.6.Review by the Departmental Committee (or Equivalent)**

The Provost shall make the candidate’s Comprehensive Digital File available to the Departmen­tal Committee by September 15. The Department Chair shall call the ﬁrst meeting of the De­partmental Committee by September 15 and shall charge the committee, and then leave to en­sure that the Departmental Committee’s review and the Department Chair’s review are inde­pendent.

By October 15, the Departmental Committee shall meet, discuss and evaluate the candidate’s performance, and submit its report to the Department Chair.

The Departmental Committee shall select a committee chair from among its members. The committee shall review information provided in the candidate's Comprehensive Digital File. No new information will be added to the candidate’s Comprehensive Digital File except in accor­dance with Section 7.10.4.2. After the committee has deliberated, it shall choose one or more members of the committee to draft the committee’s report in accordance with Section 7.10.2. When all members of the committee have reached consensus on the language of the report, the Departmental Committee Chair shall obtain the signature of all committee members on the committee report and shall submit the report to the Department Chair. By October 20, the De­partment Chair shall add a copy of the departmental committee’s report to the candidate’s Digital Comprehensive File and shall place the original report in the faculty member’s personnel ﬁle in the Dean’s ofﬁce.

In cases in which there are fewer than three eligible faculty members within the candidate's department and the Department Chair shall serve as a voting member of the Departmental Committee, the Departmental Committee Chair shall submit the committee report to the Dean by October 15. The Dean shall add the Departmental Committee’s report and a statement indi­cating why the Department Chair is on the Departmental Committee to the candidate’s Com­prehensive Digital File. In such cases, there shall be no review by the Department Chair and the next step in the review process shall be review by PTAC.

**7.9.7.Review by the Department Chair (or Equivalent).**

The Department Chair (or equivalent), providing he or she is not a voting member of the De­partmental Committee, shall review the report of the Departmental Committee (or equivalent) and the other materials in the candidate’s Comprehensive Digital File. The Department Chair then shall write an independent report prepared in accordance with Section 7.10.2. By Novem­ber 1, the Chair (or equivalent) shall forward the Chair's report to the Dean. By November 5, the Dean shall place the original report in the candidate’s personnel ﬁle in the Dean’s ofﬁce and shall add a copy of the Department Chair’s (or equivalent’s) report to the candidate’s Digital Comprehensive File.

**7.9.8.Notiﬁcation of Candidate of Results of Departmental Reviews**

The Chair (or equivalent) shall meet with the candidate by November 15 and shall provide the candidate with: (1) a copy of the Departmental Committee’s report and (2) the Chair’s (or equivalent’s) report; the copies of both reports that are provided to the candidate must have all information identifying individual committee members and outside reviewers removed.

**7.9.9.Review by the College Promotion and Tenure Advisory Committee (PTAC)**

By October 25, the Dean shall call the ﬁrst meeting of the PTAC.

PTAC shall select a chair from among its members. PTAC shall form a committee of ﬁve PTAC members for reviewing each promotion and/or tenure candidate. PTAC members who voted on a candidate at the department level shall not serve on or be present during discussions by that candidate’s PTAC committee; alternate members of PTAC shall replace such PTAC mem­bers.

The PTAC committee for a candidate shall select a chair and shall review information provided in the candidate's Comprehensive Digital File. PTAC shall assess each candidate’s perform­ance using relevant criteria in Section 7.5 and additional tenure and/or promotion criteria de­veloped by the college. After the committee has deliberated, it shall choose one or more mem­bers of the committee to draft the committee’s report in accordance with Section 7.10.2. Once all members of the committee have reached consensus on the language of the report, the Chair shall submit the report to the Dean by December 5. By December 15, the Dean shall place a copy of the PTAC report in the candidate’s Digital Comprehensive File and shall place the original in the candidate’s personnel ﬁle in the Dean’s ofﬁce.

**7.9.10.Review by the Dean**

The Dean shall conduct an independent review of the candidate, and shall prepare a report in accordance with Section 7.10.2. By January 15, the Dean shall forward the original report, to the Provost. By January 20, the Provost shall place a copy of the report in the candidate’s Comprehensive Digital Filer.

**7.9.11.Notiﬁcation to Candidate of Results of College-Level Reviews**

The Dean (or equivalent) shall meet with the candidate by January 20 and shall provide the candidate with copies of the PTAC’s report and the Dean’s (or equivalent’s) report; the copies of both reports that are provided to the candidate must have all information identifying individ­ual committee members and outside reviewers removed.

**7.9.12.Review by the University Review Board**

*7.9.12.1.Review of Promotion and Tenure Candidates*

By December 5, the Provost shall call the ﬁrst meeting of the University Review Board.

The URB shall select a chair from among its members. The University Review Board is respon­sible for reviewing the Comprehensive Digital Files for all promotion and tenure candidates submitted to the Ofﬁce of the Provost by the deans. URB shall base its report to the Provost solely upon the recommendations and evidence submitted in the Comprehensive Digital Files. By February 15, URB shall prepare a report and recommendation for each tenure and/or pro­motion candidate in accordance with Section 7.10.2. In addition, URB is responsible for: (1) ascertaining that there is adequate documentation in each candidate’s Comprehensive Digital File to allow determination that the candidate has satisﬁed the requirements in each of the categories of teaching, scholarly and/or creative achievements, and service; (2) determining that the review process for each candidate at the department and college levels has been car­ried out in accordance with posted departmental and college procedures and with the proce­dures prescribed by the Faculty Handbook; and (3) ensuring that the application of criteria for promotion and tenure is consistent throughout the university and consistent with the criteria delineated earlier in Section 7.5.

URB members who voted on a candidate at the department level shall neither be present dur­ing the discussion not vote on that candidate.

*7.9.12.2.Review of Criteria and Procedures*

By April 1, URB shall review criteria and procedures used by the colleges for consistency with the *Faculty Handbook* and, if any college’s criteria and procedures are judged to be inconsis­tent with the *Faculty Handbook*, shall notify the Provost and the Dean of the College of the in­consistencies.

**7.9.13.Review by the Provost**

The Provost shall conduct an independent review of each promotion and/or tenure candidate prior to making a ﬁnal decision in accordance with Section 7.10.2. In conducting the review of each candidate, the Provost shall evaluate all information submitted in the candidate’ compre-hensive ﬁle, including all previous report, and may utilize professional assessments from ap­propriate faculty and academic administrators.

**7.9.14.Notiﬁcation to the Candidate**

By March 15, the Provost shall notify all candidates informing them of the ﬁnal decision on promotion and/or tenure in their individual cases. Subsequent to notifying all candidates, the Provost also shall provide a written general announcement to the faculty listing all individuals who will be awarded tenure or promoted effective at the beginning of the next academic year. A faculty member who receives notiﬁcation of denial or deferral of tenure /or promotion must be informed in writing by the Provost of the reason(s) for that decision.

**7.9.15.Promotion and Tenure Appeals**

Any candidate who is not granted promotion or tenure has the right to appeal that decision. The faculty member may ﬁle a grievance to the Faculty Appeals Committee in accordance with the faculty grievance procedure in Appendix E. The Provost shall provide unsuccessful candi­dates with copies of the URB report from which all information identifying individual committee members and outside reviewers has been removed, and with redacted copies of letters written by external peer reviewers. If the faculty member chooses to appeal the decision, the ofﬁcial appeal must be initiated within 45 days after the date of the Provost's letter providing the rea­sons for denial.

**7.10.Promotion Procedures for Research, Clinical, and Library Faculty**

For the purpose of this section, administrators who do not have tenure may not participate in the promotion review process. For the purpose of this section, the "Associate Dean" in the Col­lege of Nursing is the equivalent of the “Department Chair.”

**7.10.1.Initiation of the Promotion Review**

Research or clinical faculty members who are afﬁliated with an academic department and li­brary faculty members may apply for promotion in rank by providing written notiﬁcation to the candidate’s Department Chair or equivalent by May 15 of the year before the promotion review. Research or clinical faculty members who are not afﬁliated with an academic department, but are afﬁliated with a college, may apply for promotion in rank by providing written notiﬁcation to the candidate’s dean by May 15 of the year before the promotion review. Research or clinical faculty members who are not afﬁliated with either an academic department or a college, may apply for promotion in rank by providing written notiﬁcation to the Provost by May 15 of the year before the promotion review.

A candidate may withdraw from consideration for promotion without prejudice at any time by written request to the Department Chair or equivalent.

**7.10.2.Review Levels**

Reviews for promotion normally take place at six levels in the following sequence: the Depart­mental Committee, the Department Chair or equivalent, the College Promotion and Tenure Ad­visory Committee (PTAC), the Dean, the University Review Board (URB), and the Provost. In the College of Nursing, reviews take place at ﬁve levels, the Faculty Committee, the Associate Dean, the Dean, URB, and the Provost. For candidates outside of the College of Nursing who are afﬁliated with a college, but are not afﬁliated with an academic department, reviews take place at four levels: the College Promotion and Tenure Advisory Committee (PTAC), the Dean, the University Review Board (URB), and the Provost. For candidates outside of the College of Nursing who afﬁliated with neither a college nor an academic department, the reviews take place at three levels: a Faculty Committee appointed by the Provost, the University Review Board (URB), and the Provost.

The library faculty shall develop a proposal for a similar procedure for promotion reviews and submit their proposal to the Faculty Senate Executive Committee and the Provost for approval. Upon approval, the procedure for promotion reviews of library faculty shall be incorporated into the Faculty Handbook.

Reviews at each level below the Provost are advisory to the Provost, who makes the ﬁnal deci­sion.

**7.10.3.Recommendations and Reports**

*7.10.3.1.Recommendations*

At each level of review, the administrator or Committee must make one of the following rec­ommendations or, in the case of the Provost, decisions:

(a) That promotion be granted effective at the beginning of the following academic year.

(b) That the decision on granting the promotion be deferred.

If a Committee does not reach consensus on a recommendation, the recommendation shall consist of the number of votes cast for each option.

*7.10.3.2.Reports*

At each level of review below the Provost, the reviewing person or body shall prepare a rec­ommendation in accordance with Section 7.11.3.1 and a written report. Committee reports (i.e., the Departmental Committee or Faculty Committee, PTAC, URB) shall include a signature page that shall be signed by all committee members and reveal the number of votes cast for each option. If the vote is not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, respectively.

**7.10.4.External Peer Review**

A minimum of three letters from peer evaluators outside the university are required for promo­tion reviews.

*7.10.4.1.Qualiﬁcations for External Peer Reviewers*

Ideally peer reviewers should be both expert and objective. Reviewers should have outstanding professional qualiﬁcations. Any signiﬁcant relationship (supervisory, collaborative, or social) be­tween the peer reviewer and the candidate should be disclosed both in the nomination of the peer reviewer and in the letter from the peer reviewer. Dissertation advisors may not serve as external reviewers. Whenever feasible, the set of peer reviewers should include members with no signiﬁcant relationship with the candidate. Colleges and departments may choose external peer reviewers who are qualiﬁed to assess the speciﬁc responsibilities of a clinical, library, or research faculty members in that department and/or college.

*7.10.4.2.Procedure for Selecting External Peer Reviewers*

Each college or department and the library are responsible for developing procedures for se­lecting external peer reviewers for clinical, library, and research faculty members in accordance with procedures set forth in Section 7.6.1. By May 20 in the year preceding the promotion re­view, the Administrator (Department Chair, Dean, or Provost) to whom the candidate applied for promotion review shall solicit nominations of individuals to serve as external peer reviewers from the candidate and from all faculty members in the department (or equivalent) who are eli­gible to serve on the Departmental Committee (or equivalent). In cases where the candidate has neither a departmental or college afﬁliation, the Provost shall establish and implement a procedure for nominating external peer reviewers. The names of nominees to serve as external peer reviewers, along with supporting documentation of the nominee’s qualiﬁcations, must be submitted in writing to the Department Chair by June 15.

*7.10.4.3.Procedure for Soliciting External Peer Reviews*

By June 15, the candidate shall provide the Administrator (Department Chair, Dean, or Provost) to whom the candidate applied for promotion review with a packet of information to send to the external peer reviewers. For research faculty members, the packet shall include a curricu­lum vitae and representative examples of the candidate's scholarly and/or creative achieve­ments. For clinical and library faculty members, the packet shall include the candidate’s cur­riculum vitae and evidence of accomplishments in the areas of activity (i.e., teaching, scholarly and/or creative achievements, service, and clinical and professional practice) for which the candidate has responsibilities in accordance with criteria established by the department and/or college in which the appointment is held.

By July 1, that administrator shall contact the external peer reviewers by telephone or email to ascertain their willingness to serve as a reviewer and to submit their review by August 15; if any of those selected decline to serve, the administrator shall select a replacement from the re­maining nominees.

By July 1, that administrator shall send the packet of information to the external peer reviewers along with a letter requesting that they assess the quality of the candidate's scholarly and/or creative achievements.

In the event that fewer than three of the external peer reviewers have returned their reviews by August 15, the administrator shall solicit additional reviews from the nominees identiﬁed in ac­cordance with Section 7.11.4.2. The administrator shall place a copy of the letter sent to the external reviewers requesting their assessment of the candidate’s performance and the letters received from the external reviewers in the candidate’s Comprehensive Digital File.

*7.10.4.4.Other Letters of Support*

The candidate may also solicit up to ﬁve secondary letters of support from parties who can provide additional information about the areas of activity (i.e., teaching, scholarly and/or crea-tive achievements, service, and clinical and professional practice) for which the candidate has responsibilities in accordance with criteria established by the department and/or college in which the appointment is held. By September 15, the Administrator shall place such letters in the faculty member’s Comprehensive Digital File and shall submit the original letters of support to the Dean; the Dean shall place the originals in the faculty member’s personnel ﬁle in the Dean’s ofﬁce or, in cases where the candidate does not have a college afﬁliation, in the Pro­vost’s ofﬁce.

*7.10.4.5.Addition of Information to the Comprehensive Digital File*

No documents may be added to the Comprehensive Digital File after the review by the De­partmental Committee (or equivalent). If the candidate has relevant information to add prior to the completion of the review by the Departmental Committee (or equivalent), the candidate shall provide such information to the Department Chair (or equivalent), who shall place such information in the candidate’s Comprehensive Digital File and notify the Departmental Commit­tee of its addition. If the Departmental Committee (or equivalent) decides that additional infor­mation is needed, the Committee Chair shall request such information from the Department Chair (or equivalent), who shall obtain the missing information, place it in the candidate’s Com­prehensive Digital File, and notify the candidate that the additional information has been placed in the ﬁle.

If the candidate has relevant information to add to the CDF after the Departmental Committee (or equivalent) had completed its review, the candidate may provide such information to the Department Chair (or equivalent) and the Dean, who may include it in their reports. If the De­partment Chair (or equivalent) or Dean includes such information in their reports, they shall note when they received it.

**7.10.5.Eligibility to Serve on and Selection of Promotion Committees**

*7.10.5.1.Eligibility to Serve on Promotion Committees*

Three faculty committees, the Departmental Committee (or Faculty Committee in the College of Nursing or for candidates who are not afﬁliated with a college), the College Promotion and Ten­ure Advisory Committee (PTAC), and the University Review Board (URB), participate in promo­tion reviews processes. Administrators who participate directly in the review process at a higher level may not serve on promotion committees. All other full-time tenured faculty mem­bers are eligible to serve on promotion committees. A faculty member who meets these eligibil­ity criteria and who also is an administrator but not participating directly in the review process at a higher level is eligible to serve on the Departmental Committee. Such administrators must abstain from advising any higher level administrator making decisions in the review process. The College of Nursing and the Library shall establish additional eligibility criteria for participa­tion on the Faculty Committee evaluating clinical and library faculty members, respectively, for promotion. URB is responsible for developing additional eligibility criteria for serving on Fac­ulty Committees responsible for evaluating promotion candidates who have neither a depart­mental nor a college afﬁliation.

Eligibility requirements to serve on PTAC and on URB are speciﬁed in Section 7.10.5.1.

*7.10.5.2.Composition and Selection of the Departmental Committee (or Faculty Committee in*

*Nursing)*

By September 15, and after consultation with the candidate, the Dean, and with the faculty members eligible to serve as departmental (or equivalent) committee members, the candidate’s Department Chair (or equivalent) shall form the departmental (or equivalent) promotion commit­tee for the candidate.

The Departmental Committee shall be composed and selected in accordance with Sections

7.10.5.1 and 7.10.5.2.

In the College of Nursing, the Faculty Committee shall consist of all faculty members in the col­lege the eligibility requirements speciﬁed in College of Nursing Organizational Bylaws. The lat­ter member shall be selected by associate dean in consultation with the candidate. The asso­ciate dean does not serve on the faculty committee.

For faculty members who do not have either a departmental or a college afﬁliation, the Faculty Committee shall consist of ﬁve faculty members, who shall be appointed by the Provost. At least four of the faculty members on the committee shall be tenured faculty members; one un­tenured clinical or research faculty member at rank of associate or full professor may be ap­pointed. Where feasible, appointees to such faculty committees will be in the same discipline or a closely associated discipline as the candidate for promotion.

**7.10.6.Review by the Departmental or Faculty Committee**

The review by the Departmental or Faculty Committee shall follow the procedure speciﬁed in Section 7.10.6.

**7.10.7.Review by the Department Chair (or Equivalent).**

The review by the Department Chair (or equivalent) shall follow the procedure speciﬁed in Sec­tion 7.10.7.

**7.10.8.Notiﬁcation of Candidate of Results of Departmental Reviews**

The Chair (or equivalent) shall meet with the candidate by November 15 and shall provide the candidate with: (1) a copy of the Departmental (or Faculty) Committee’s report and (2) the Chair’s (or equivalent’s) report; the copies of both reports that are provided to the candidate must have all information identifying individual committee members and outside reviewers re­moved.

**7.10.9.Review by the College Promotion and Tenure Advisory Committee (PTAC)**

The review by the PTAC shall follow the procedure speciﬁed in Section 7.10.9.

**7.10.10.Review by the Dean**

The review by the Dean shall follow the procedure speciﬁed in Section 7.10.10.

**7.10.11.Notiﬁcation to Candidate of Results of College-Level Reviews**

The Dean (or equivalent) shall meet with the candidate by January 20 and shall provide the candidate with copies of the PTAC’s report and the Dean’s (or equivalent’s) report; the copies of both reports that are provided to the candidate must have all information identifying individ­ual committee members and outside reviewers removed.

**7.10.12.University Review Board**

The review by the University Review Board shall follow the procedure speciﬁed in Section

7.10.12.

**7.10.13.Review by the Provost**

The review by the Provost shall follow the procedure speciﬁed in Section 7.10.13.

**7.10.14.Notiﬁcation to the Candidate**

The Provost shall notify the candidate in accordance with Section 7.10.14.

**7.10.15.Promotion Appeals**

Any candidate who is not granted promotion has the right to appeal that decision in accor­dance with Section 7.10.15.

**7.11.Summary of Deadline Dates for Tenure and Promotion**

|  |  |  |
| --- | --- | --- |
| **Table 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Party**  |  |  |
| **Date**  | **Action**  | **Responsible PartyResponsible PartyResponsible Party**  |  |  |
| **Candi­date**  | **Dept. Chair**  | **Dept. Commit­tee**  | **PTAC**  | **Dean**  | **URB**  | **Pro­vost**  |
| Apr. 15  | Deadline for Provost to provide deans and de­partment chairs with a list of tenure-track fac­ulty for whom the next academic year will be the mandatory tenure review year.  |  |  |  |  |  |  | X  |
| May 15  | Deadline for candidates to apply to be consid­ered for promotion.  | X  |  |  |  |  |  |  |
| May 15  | Deadline for candidate for early tenure and department chair to initiate the early tenure evaluation process.  | X  | X  |  |  |  |  |  |
| Deadline for Department Chair to notify ten­ure‐track faculty for whom the next academic year will be the mandatory tenure review year that the tenure evaluation process is beginning.  |  | X  |  |  |  |  |  |
| Deadline for Department Chair to initiate tenure review process for tenure candidates who are administrative ofﬁcers.  |  | X  |  |  |  |  |  |
| May 20  | Deadline for Department Chair to solicit nomi­nations of individuals to serve as external peer reviewers.  |  | X  |  |  |  |  |  |
|  |  |  |

|  |  |  |
| --- | --- | --- |
| **Table 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Party**  |  |  |
| **Date**  | **Action**  | **Responsible PartyResponsible PartyResponsible Party**  |  |  |
| **Candi­date**  | **Dept. Chair**  | **Dept. Commit­tee**  | **PTAC**  | **Dean**  | **URB**  | **Pro­vost**  |
| June 15  | Deadline for candidate and all members of the department who are eligible to serve on pro­motion and tenure committees to submit nominees for external peer reviewers to the Department Chair.  | X  |  |  |  |  |  |  |
| Deadline for candidate to provide the Depart­ment Chair with an information packet to send to the external peer reviewers.  | X  |  |  |  |  |  |  |
| July 1  | Deadline by which Department Chair must have solicited external peer reviewers and sent the candidate’s information packet to the ex­ternal peer reviewers.  |  | X  |  |  |  |  |  |
| Aug. 15  | Deadline for Department Chair to solicit addi­tional external peer reviews if fewer than three external peer reviewers have returned their reviews.  |  | X  |  |  |  |  |  |
| Sept. 5  | Deadline for Dean to convene nominating committee to select candidates for URB.  |  |  |  |  | X  |  |  |
| Sept. 15  | Deadline for Candidate to have updated his/her Comprehensive Digital File.  | X  |  |  |  |  |  |  |
| Sept. 15  | Deadline for Department Chair to place copies of external peer review letters and other letters of support in the candidate’s Comprehensive Digital File and to submit the originals to the Dean.  |  | X  |  |  |  |  |  |
| Sept. 15  | Deadline for Department Chair to form De­partmental Committee and convene ﬁrst De­partmental Committee meeting.  |  | X  |  |  |  |  |  |
| Sept. 15  | Deadline for Provost to make candidate’s Comprehensive Digital File available to De­partmental Committee members.  |  |  |  |  |  |  | X  |
| Sept. 20  | Deadline for Dean to have conducted and an­nounced results of URB election.  |  |  |  |  | X  |  |  |
| Oct. 1  | Deadline for Dean and nominating committee to announce slate of candidates for PTAC as well as the set of faculty who are eligible to vote on PTAC membership.  |  |  |  |  | X  |  |  |
| Oct. 15  | Deadline for Dean to conduct and announce results of PTAC election.  |  |  |  |  | X  |  |  |
| Deadline for Departmental Committee to sub­mit its report to the Department Chair (or to the Dean if the Department Chair is a member of the Departmental Committee).  |  | X  |  |  |  |  |  |
|  |  |  |

|  |  |  |
| --- | --- | --- |
| **Table 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Party**  |  |  |
| **Date**  | **Action**  | **Responsible PartyResponsible PartyResponsible Party**  |  |  |
| **Candi­date**  | **Dept. Chair**  | **Dept. Commit­tee**  | **PTAC**  | **Dean**  | **URB**  | **Pro­vost**  |
| Oct. 20  | Deadline for Department Chair to place a copy of the Departmental Committee Report in the candidate’s Comprehensive Digital File and the original in the candidate’s personnel ﬁle in the Dean’s ofﬁce.  |  | X  |  |  |  |  |  |
| Deadline for Provost to make candidate’s Comprehensive Digital File available to PTAC.  |  |  |  |  |  |  | X  |
| Oct. 25  | Deadline for Dean to convene the ﬁrst PTAC meeting.  |  |  |  |  | X  |  |  |
| Nov. 1  | Deadline for Provost to provide URB members with access to the CDFs of all promotion and tenure candidates that they will review.  |  |  |  |  |  |  |  |
| Deadline for Department Chair to submit his/ her report to the Dean.  |  | X  |  |  |  |  |  |
| Nov. 5.  | Deadline for Dean to place Department Chair’s original report in the candidate’s personnel ﬁle in the Dean’s ofﬁce and a copy of the report in the candidate’s Comprehensive Digital File.  |  |  |  |  | X  |  |  |
| Nov. 15  | Deadline for Department Chair to meet with candidate to inform candidate of Departmental Committee and Department Chair’s recom­mendations.  |  | X  |  |  |  |  |  |
| Dec. 5Dec. 5  | Deadline for PTAC to submit its report to the Dean.  |  |  |  | X  |  |  |  |
| Deadline for Provost to convene ﬁrst URB meeting.  |  |  |  |  |  |  | X  |
| Dec. 15  | Deadline for the Dean to place a copy of the PTAC report in the candidate’s Digital Compre­hensive File and the original in the candidate’s personnel ﬁle in the Dean’s ofﬁce.  |  |  |  | X  |  |  |  |
| Jan. 15  | Deadline for Dean to submit his/her report to the Provost.  |  |  |  |  | X  |  |  |
| Jan. 20Jan. 20  | Deadline for the Provost to place a copy of the Dean’s report in the candidate’s Comprehen­sive Digital File.  |  |  |  |  |  |  |  |
| Deadline for Dean to meet with candidate to inform candidate of PTAC and the Dean’s rec­ommendations.  |  |  |  |  | X  |  |  |
| Feb. 15  | Deadline for URB to submit its reports to the Provost.  |  |  |  |  |  | X  |  |
| Mar. 15  | Deadline for Provost to notify all candidates informing them of his/her ﬁnal decision.  |  |  |  |  |  |  |  |
|  |

|  |
| --- |
| **Table 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Partyable 7.12 Matrix of Actions by Date and Responsible Party**  |
| **Date**  | **Action**  | **Responsible PartyResponsible PartyResponsible Party**  |
| **Candi­date**  | **Dept. Chair**  | **Dept. Commit­tee**  | **PTAC**  | **Dean**  | **URB**  | **Pro­vost**  |
| Apr. 1  | Deadline for URB to review criteria and proce­dures and submit its review to Provost and college Deans.  |  |  |  |  |  | X  |  |
| May 1  | Deadline for the Provost to erase the contents of the Reports and Recommendations Folder and the Letters Folder in the faculty member’s Comprehensive Digital File.  |  |  |  |  |  |  | X  |
| NOTES: tee or equivalent. Dept. Chair denotes Department Chair or equivalent; Dept. Committee denotes the Departmental Commit tee or equivalent. Dept. Chair denotes Department Chair or equivalent; Dept. Committee denotes the Departmental CommitDept. Chair denotes Department Chair or equivalent; Dept. Committee denotes the Departmental CommitDept. Chair denotes Department Chair or equivalent; Dept. Committee denotes the Departmental CommitDept. Chair denotes Department Chair or equivalent; Dept. Committee denotes the Departmental CommitDept. Chair denotes Department Chair or equivalent; Dept. Committee denotes the Departmental CommitDept. Chair denotes Department Chair or equivalent; Dept. Committee denotes the Departmental CommitDept. Chair denotes Department Chair or equivalent; Dept. Committee denotes the Departmental Commit- |

**7.12.Voluntary Separations**

**7.12.1.Resignations**

Faculty members are expected to give reasonable notice of their intention to resign from their faculty position. Notices of resignation should be submitted in writing to the Dean(s) of the col­lege(s) in which the individual holds a faculty appointment, with a copy to the faculty member’s Department Chair or equivalent. Such notice should, in general, be submitted early enough to obviate hardship to the institution and to provide for continuity of instruction. UAHuntsville en­courages faculty members who are resigning to comply with the AAUP “Statement on Re­cruitment and Resignation of Faculty Members,” which states, in part, that absent an emer­gency situation, faculty members should resign no “…later than May 15 or thirty days after re­ceiving notiﬁcation of the terms of continued employment for the following year, whichever date is later who resign are encouraged to submit their written notice of resignation by May 15” (AAUP Policy and Documents Report, 2006, p. 178).

**7.12.2.Retirement**

Faculty members who are eligible to receive retirement beneﬁts under the State Teachers' Re­tirement System of Alabama (TRSA) should contact the UAHuntsville Human Resources Ofﬁce at least ninety (90) days before their anticipated retirement date. Timely notiﬁcation allows for information required by TRSA to be compiled and for beneﬁt options to be evaluated and se­lected by the faculty member. TRSA requires that the Application for Retirement be submitted between 60 and 90 days before retirement.

Faculty members on an academic year appointment, including tenured faculty members, may retire June 1 of any year (or at the end of the spring semester if they are not working in the summer) even though they will be paid through the academic year. It is to the advantage of faculty members who are on a calendar year appointment to retire on April 1, because the TRSA considers 9 months as a full year’s work in the year of retirement. Therefore, for faculty members who are on a calendar year appointment, the TRSA year of July 1 through March 31 of the next year constitutes 9 months’ work.

Detailed information about retirement eligibility and procedures can be found at the UAHunts­ville Department of Human Resources and and at the TRSA websites, ([http://www.uah.edu/admin/HR/beneﬁts/retireeinfo.php](http://www.uah.edu/admin/HR/benefits/retireeinfo.php), [www.rsa-al.gov](http://www.rsa-al.gov)).

**7.13.Disciplinary Policies and Procedures**

**7.13.1.General Policy**

The University, acting pursuant to constitutional and statutory authority, has the right to impose disciplinary sanctions upon a faculty member. Such sanctions may only be imposed, however, for adequate cause and in accordance with established procedures, all as set forth more fully in these sections. Sanctions will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens

The dismissal of a faculty member or imposition of a major sanction on a faculty member is not purely an administrative decision. Rather, as set forth in the procedures below, it is an action that results from due deliberation of colleagues in the academic community.

In the formal proceedings provided below in which dismissal or other major sanction is sought, the burden of establishing adequate cause for applying such sanction will be on the academic administrator.

University personnel involved in a disciplinary proceeding are to maintain the conﬁdentiality of information regarding the conduct of the faculty member who is the subject of the proceeding and related matters, disclosing such information to others only on a need-to-know basis.

**7.13.2.Dismissal**

Adequate cause for dismissal of a tenured faculty member or for dismissal of a faculty member during the term of an appointment must relate, directly and substantially, to the ﬁtness of the faculty member to function in the role of teacher, researcher, and colleague in an academic community. Adequate cause for dismissal might include serious professional or personal mis­conduct; serious failure, without adequate justiﬁcation and whether due to incompetence or refusal, to perform academic duties in accordance with generally accepted norms; conviction of a serious crime; serious violations of other law or of University policy; etc.

If the basis for seeking dismissal or suspension involves conduct by the faculty member that is known to the Department Chair or dean and that has occurred over a period of time, there should normally be a record of progressive discipline evidencing an attempt to allow correction of such conduct prior to the initiation of proceedings under this section.

*7.13.2.1.Preliminary Procedures*

The decision to initiate dismissal proceedings may be made by the faculty member's depart­ment chair or dean, with the concurrence of the Provost, or by the Provost. Prior to initiating formal proceedings, however, the department chair or dean shall confer with the faculty mem­ber in an effort to achieve, by means of thorough discussions, a mutually agreeable resolution. If such a resolution is achieved, no further proceedings under this policy will occur and no documents relating to dismissal will be retained in the faculty member's personnel records. If these efforts are not successful, a brief, nonprejudicial statement reciting that these informal measures were utilized but were not successful will be placed by the Provost in the disciplinary ﬁle.

Formal dismissal proceedings are initiated by furnishing to the faculty member a statement of the charges. The charges must relate to one or more of the recognized grounds for dismissal (as set forth in the discussion of "adequate cause" above) and must be framed with reasonable particularity, indicating in at least general terms the factual basis for the charges. The state­ment must further inform the faculty member that dismissal is being sought and that the faculty member is entitled to a hearing on the charges, if he/she desires and if the matter proceeds to that stage. If any interim suspension is being imposed, the faculty member should be so in­formed in the statement. The statement is to be prepared by the department chair or the Dean and approved by the Provost, and it should be served upon the faculty member by personal delivery or by registered mail.

The Provost next appoints one or more faculty members to serve as preliminary action ofﬁcers (PAOs), providing a copy of the statement of charges with the written notice of appointment. The PAO is to carry out the following duties:

(a) Conduct a preliminary investigation of the charges, meeting with the academic adminis­trator bringing the charges and with the faculty member to obtain further information. The PAO may interview other individuals and review documents as deemed helpful in gather­ing the facts relating to the charges. A written report is then made by the PAO to the Pro­vost setting forth a summary of ﬁndings concerning the factual basis for the charges and a recommendation for action to be taken. Two actions may be recommended:

* + 1. Referral of the case for a formal hearing. Such a recommendation is appropriate where, based on credible information acquired during the preliminary investigation and though there may be some doubt, the PAO believes that there is a reasonable basis for concluding that the charges are true and that they constitute adequate cause to warrant consideration of dismissal or other major sanction.
		2. Dismissal of the case. Such a recommendation is appropriate in the absence of a "reasonable basis" conclusion, as stated above.
		3. (b) The PAO may attempt to facilitate resolution of the charges through informal consulta­tion with the principal parties, mediation, or other voluntary means. If the principal parties agree to a settlement in this manner, the PAO summarizes the settlement in writing and informs the Provost. The case is then deemed closed.

Upon receipt of the PAO report, the Provost may accept and act on the recommendation (dis­missing the charges or referring them for a formal hearing, as recommended), or the Provost may decide not to concur with the recommendation and dismiss the charges or refer them for a hearing as the Provost deems appropriate.

Referral of a case for dismissal proceedings may also be made pursuant to special University procedures established to address claims of discrimination, violation of ethical standards in research and other scholarly activity, and violation of conﬂict of interest policies.

*7.13.2.2.Pre-Hearing Procedures*

If a case is to be referred for formal proceedings, the faculty member is so informed and asked to respond to the charges. The faculty member should, in a written response to the Provost, answer the charges and indicate whether a hearing is desired. A statement that a hearing is not desired will be regarded as a waiver of any right to a hearing, and the matter will proceed with­out a hearing. The faculty member's response should be timely and in any event should be provided within two weeks after receipt of the statement of the charges. The alternative re­sponses of the faculty member and a summary of subsequent proceedings in each case are as follows:

(a) The faculty member may admit or acknowledge the truthfulness of the charges and waive a hearing. The decision regarding dismissal will then be made by the Provost. The faculty member and the department chair or dean may, prior to such decision, confer with the Provost and/or submit to the Provost materials that they respectively contend should bear upon the Provost's decision. A decision by the Provost to dismiss the faculty member may be appealed by the faculty member, within forty-ﬁve days, to the President, whose decision will be ﬁnal.

(b) The faculty member may deny the charges and/or deny that the charges support a ﬁnd­ing of adequate cause but waive a hearing. The decision regarding dismissal will be made by the Provost, with right of appeal to the President, in accordance with the gen­eral procedure outlined in a. above.

(c) The faculty member may deny the charges and/or deny that the charges support a ﬁnd­ing of adequate cause and request a hearing. A hearing will then be held before a faculty panel constituted as set forth below.

(d) A failure to respond will be regarded as a general denial and a request for a hearing.

*7.13.2.3.Hearing Procedures*

If the faculty member has requested a hearing in a dismissal proceeding, the following proce­dures will be followed:

(a) The Provost will appoint an individual to act as proponent of the charges. The proponent is to be responsible for developing and presenting the case against the faculty member and handling other appropriate duties. The proponent may be any University employee, including the Department Chair or dean, who is not an attorney.

(b) The faculty member may select an advisor to assist and represent the faculty member during the dismissal proceedings. The advisor may be any University employee who is not an attorney. The faculty member may also consult with an attorney. Such attorney

may be present during the dismissal proceedings but may not participate as a represen­tative of the faculty member before the faculty panel. An attorney who disrupts the ﬂow of the proceedings may be excluded by the Hearing Panel.

(c) The dismissal hearing will be conducted by a specially appointed Hearing Panel. The Hearing Panel will include ﬁve faculty members selected from among the members, regu­lar or alternate, of the Faculty Appeals Committee (FAC). FAC members with bona ﬁde reason for disqualiﬁcation, such as bias, conﬂict of interest, or other cause, may remove themselves from the list of potential Hearing Panel members. A roster of remaining regu­lar FAC members will be presented by the FAC Chair to the faculty member and the pro­ponent, each of whom may request the FAC Chair to remove any FAC member for cause and each of whom may strike up to two FAC members from the list without stated cause. The FAC Chair will then select, by lot, ﬁve faculty from the remaining FAC members, and these ﬁve faculty will constitute the Hearing Panel. Alternate FAC members may be in­cluded on the roster if necessary to allow the operation of the foregoing selection proc­ess. The Hearing Panel will elect a chair from its members.

(d) Notice of the date set for the hearing must be given to the parties at least twenty-one

(21) days in advance of the hearing date.

(e) The hearing will ordinarily be private, except that the faculty member will have the right, upon request to the Hearing Panel chair and absent compelling considerations involving privacy interests of other parties, to a hearing that is open to the public (barring only wit­nesses during periods when they are not testifying).

(f) The burden of proof is on the party bringing the charges against the faculty member. This burden will be satisﬁed only by clear and convincing proof of the charges in the record of evidence, considered as a whole, presented to and received by the Hearing Panel. "Clear and convincing proof" refers to evidence of sufﬁcient quantity and quality as would show that the truth of the charges is highly probable.

(g) In the event the faculty member, after requesting a hearing, does not participate in the hearing process or withdraws in writing the request for a hearing, the Hearing Panel will nevertheless be convened without the faculty member to make ﬁndings of fact and pro­vide recommendations regarding dismissal, if necessary or appropriate under the cir­cumstances. The Panel may solicit and receive evidence from any source to assist it in developing its ﬁndings and recommendations.

(h) The Hearing Panel will submit its ﬁndings and recommendations in a written report through the Provost to the President. It may conclude that adequate cause for dismissal does not exist, in which case it may recommend no sanctions or a sanction less than dismissal. The Provost will indicate concurrence or nonconcurrence with the report.

(i) The ﬁnal decision will be made by the President. If the President does not accept the recommendations of the Hearing Panel, the President will, within twenty-ﬁve (25) working days after receipt of the report, convey in writing to the Hearing Panel his/her position and allow the Hearing Panel an opportunity to respond in writing within ﬁve (5) working days. After receipt of any further report from the Hearing Panel, the President will render a ﬁnal decision. No further right of appeal within the University, such as by use of the faculty General Grievance Procedure (see Appendix E) will be available to the faculty member.

(j) The President will notify the faculty member of the decision in writing, to be hand deliv­ered or sent by registered mail. Copies are to be sent to the Hearing Panel, the academic administrators involved in the case, the proponent, and the adviser. These parties will also be provided a copy of the Hearing Panel's report and any written communications between the President and the Panel. If the President decides on dismissal of the faculty member, an effective date (which may be the date of the notice) must be stated.

(k) Except as modiﬁed above, the additional procedures set forth in Appendix E, section D.1-5, relating to grievance hearings by the Faculty Appeals Committee, are also to be used for dismissal proceedings, as appropriate and as adapted (e.g., the charged party generally relates to the "petitioner" in Appendix E).

All documents related to a disciplinary proceeding, from the preliminary action phase through a hearing, if any, become part of a disciplinary ﬁle that is maintained, after the conclusion of the proceeding, in the Provost's ofﬁce.

*7.13.2.4.Interim Suspension*

A faculty member may be suspended or assigned to other duties in lieu of suspension pending the ﬁnal outcome of the dismissal proceedings if, and only if, such action is deemed necessary to protect the faculty member, other members of the University community, or institutional property or processes from immediate harm. A decision regarding such interim suspension is to be made by the Provost. The faculty member may appeal an interim suspension to the President, whose decision will be ﬁnal. Ordinarily, salary will continue during such an interim suspension.

**7.13.3.Sanctions Other Than Dismissal**

*7.13.3.1.Other Major Sanctions*

If a department chair or dean believes that the conduct of a faculty member may not justify dismissal under the standards set forth above but is sufﬁciently grave to warrant suspension from employment without pay for a period of one month or more or reduction in salary, formal proceedings may be instituted seeking such action. The procedures set forth in Section 7.14.2 will govern such a proceeding. In the statement of charges, the faculty member should be in­formed that the proceedings may result in major sanctions, including dismissal.

*7.13.3.2.Minor Sanctions*

Disciplinary action involving sanctions less severe than dismissal, suspension without pay for one month or more, or reduction in salary may also be imposed. Such minor sanctions may include, without limitation, an oral warning, a letter of reprimand, a revised work assignment, a suspension with pay or a suspension without pay for less than one month, the denial of a merit salary increase, etc. Such actions are within the authority of a department chair and/or dean, except that any suspension may only be imposed by the Provost.

Imposition of a minor disciplinary sanction will occur only for adequate cause, which may in­clude any conduct or performance problem adversely affecting the ﬁtness of the faculty mem­ber to function in the role of teacher, researcher, or colleague in an academic community, such as professional or personal misconduct; failure, without adequate justiﬁcation and whether due to incompetence or refusal, to perform academic duties in accordance with generally accepted norms; conviction of a serious crime; violations of other law or of University policy; etc.

Procedurally, the faculty member will be given notice of the charge and the intent of the admin­istrator to impose a minor sanction and thereafter will be allowed an opportunity to present a defense to the administrator. The administrator will conduct an investigation and review of the relevant circumstances as may be necessary to determine the validity and assess the serious­ness of the charge.

In any instance in which a minor sanction is imposed under these procedures, the faculty member shall have full access to those avenues of appeal and redress afforded by the faculty General Grievance Procedure set forth in Appendix E.

**7.14.Faculty Rights and Responsibilities**

**7.14.1.Equal Employment Opportunity, Nondiscrimination and Afﬁrmative Action Policies**

*7.14.1.1.Equal Employment Opportunity and Afﬁrmative Action Statement*

The University of Alabama in Huntsville is committed to making employment opportunities available to qualiﬁed applicants and employees and does not unlawfully discriminate on the basis of race, color, national origin, religion, sex (including marital or parental status), preg­nancy, sexual orientation, age, disability, citizenship, genetic information, or status as a Vietnam-era, special disabled, or other eligible veteran. All personnel actions and programs shall be administered in accordance with this equal opportunity policy. These actions and pro­grams include recruitment, selection, assignment, classiﬁcation, promotion, demotion, transfer, layoff and recall, termination, determination of wages, conditions and beneﬁts of employment, etc. It is the intent of the University that, in all aspects of employment, individuals shall be treated without unlawful discrimination on any of the foregoing bases, and that employment decisions shall instead be premised upon a person’s ability, experience, and other job-related qualiﬁcations.

Additionally, the University is an afﬁrmative action employer of women, minorities, individuals with a disability, and Vietnam-era, special disabled, and other eligible veterans. It is committed to making sustained, diligent efforts to identify and consider such individuals for employment and for opportunities arising during employment.

UAH Faculty Handbook (2013)

The University is also committed to equal educational opportunity for all qualiﬁed students and does not unlawfully discriminate in its educational policies, practices, programs, or activities on the basis of race, color, national origin, religion, sex (including marital or parental status), preg­nancy, sexual orientation, age, disability, citizenship, genetic information, or veteran status. Its admissions, ﬁnancial aid, athletics, student services, and other programs are administered in accordance with this policy.

Discrimination, under this policy, shall be understood to include harassment carried out through unwelcome verbal or physical conduct directed at one or more individuals on the basis of race, color, national origin, religion, sex, age, or disability. To be unlawful in an employment context, enduring such harassment must become a condition of continued employment or the conduct must be sufﬁciently severe or pervasive to create a working environment that is intimi­dating, hostile, or abusive. Offensive jokes, objects, or pictures; slurs and epithets; physical threats and assaults; intimidation; insults; etc. are among the actions that may constitute har­assment. Potential violations of this policy will be evaluated from the perspective of a reason­able person in the victim’s situation, taking into account all the circumstances.

With regard to students, such harassment is unlawful when it unreasonably interferes with or limits the student’s ability to participate in or beneﬁt from services, activities, or privileges pro­vided by the educational institution. A violation also occurs when, through such harassment, an educational institution has created or is responsible for a hostile learning environment so severe, pervasive, or persistent that it adversely affects the student’s ability to participate in or beneﬁt from the institution’s educational program.

Sexual harassment, in addition and more speciﬁcally, includes sexual advances, requests for sexual favors, and other conduct of a sexual nature that is unwelcome and is directed toward a person on the basis of that person’s sex. It may take one of two generally recognized forms. First, the employee’s or student’s submission to such conduct is made a condition, explicitly or implicitly, of access to an employment or academic opportunity; for the employee’s or stu­dent’s submission to or rejection of such conduct is used as the basis for employment or aca­demic decisions affecting the individual, such as, for example, a salary or grade determination, respectively. This kind of harassment is sometimes referred to as “*quid pro quo*” (“something for something”) or, alternatively, harassment that results in “tangible employment action.” Sec­ondly, hostile environment harassment occurs when the conduct is so severe, persistent, or pervasive that it unreasonably interferes with an individual’s performance as an employee or student or creates an intimidating, hostile, or offensive working/learning environment. Exam­ples of actions that might be deemed to create a hostile environment based on sex could in­clude ﬂirtation, vulgar language, sexually suggestive jokes, touching of a sexual nature, dis­playing or distributing sexually explicit materials, etc.

The University also prohibits retaliation against employees or students who engage in pro­tected activities. Protected activities include making, in good faith, a complaint of discrimina­tion or harassment, assisting others in making a complaint, otherwise opposing such acts or practices, or participating in an investigation, proceeding, or lawsuit. Threats, intimidation, re­prisals, and/or other adverse actions related to ones employment or academic status consti-tute retaliation if they may dissuade a reasonable employee or student from exercising his/her right to complain about the discrimination or harassment.

In these respects, the University afﬁrms its desire to create a work environment for all employ­ees and a learning environment for all students that is fair, humane, and responsible – an envi­ronment that supports and rewards career and educational goals on the basis of such relevant factors as ability and employment or academic performance. A University employee or student who is found, under established University procedures, to have been guilty of discriminatory conduct with respect to another member of the campus community in violation of these poli­cies will be subject to discipline, up to and including possible dismissal or expulsion, by the University.

These commitments are designed to meet nondiscrimination/afﬁrmative action requirements imposed by the following federal and state sources of legal obligation, as amended: Title VI and VII, Civil Rights Act of 1964; Executive Order 11246; Title IX, Education Amendments of 1972; the Rehabilitation Act of 1973; the Americans with Disabilities Act of 1990; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; the Age Discrimination Act of 1975; the Vietnam Era Veterans’ Readjustment Assistance Act of 1974; the Immigration Reform and Control Act of 1986; the Genetic Information Nondiscrimination Act of 2008; the U.S. Con­stitution; contract and grant agreements with government agencies; the Alabama Age Dis­crimination Act of 1997; and the Alabama Constitution of 1901. The University’s equal oppor­tunity policies pertaining to its employees and students include speciﬁc administrative proce­dures and implementing measures designed to carry out these pledges and to ensure compli­ance with the foregoing laws.

Inquiries or complaints concerning the application of this policy or these federal and/or state requirements should be directed to the ofﬁce of the Vice President for Diversity and Student Support Services.

*7.14.1.2.Faculty Discrimination Complaints*

A faculty member who believes that she or he has been discriminated against on the basis of race, color, national origin, religion, sex (including marital or parental status), pregnancy, sexual orientation, age, disability, citizenship, genetic information, or status as a Vietnam-era, special disabled, or other eligible veteran violation of may ﬁle a complaint of discrimination in violation of the policy stated in Section 7.15.1.1 using the procedures set forth in the University’s Dis­crimination Grievance Procedure (<http://www.uah.edu/legal/uah_policy_pdfs/Discrimination%20Grievance%20Procedures.pdf>).

*7.14.1.3.Faculty Responsibilities*

All faculty members have a responsibility to adhere to the University’s Equal Employment Op­portunity, Nondiscrimination, and Afﬁrmative Action Policy (Section 7.15.1.1) in their interac­tions with students, prospective students, and other members of the university. Actions by a faculty member that discriminate against another member of the university community in viola­tion of the University’s Equal Employment Opportunity, Nondiscrimination, and Afﬁrmative Ac­tion Policy may be subject to disciplinary action in accordance with Section 7.14. Disciplinary action against a faculty member for alleged violation of the University’s Equal Employment Op-portunity, Nondiscrimination, and Afﬁrmative Action Policy (Section 7.15.1.1) will be imple­mented in accordance with policies and procedures governing the discipline or dismissal of a faculty member for cause in Section 7.14.

**7.14.2.Academic Freedom**

Academic freedom of the faculty is indispensable to fulﬁlling the university's mission. The uni­versity therefore adopts the following American Association of University Professors (AAUP) policy statements on academic freedom.

*7.14.2.1.Academic Freedom in Scholarship and Research*

“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.” (American As­sociation of University Professors. 2006. “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” *AAUP Policy Documents & Reports, Tenth Edi­tion*, p. 3)

*7.14.2.2.Academic Freedom in Creative Activities*

“Works of the visual and the performing arts are important both in their own right and because they can enhance our understanding of social institutions and the human condition. Artistic expression in the classroom, the studio, and the workshop therefore merits the same assur­ance of academic freedom that is accorded to other scholarly and teaching activities. Since faculty and student artistic presentations to the public are integral to their teaching, learning, and scholarship, these presentations merit no less protection. Educational and artistic criteria should be used by all who participate in the selection and presentation of artistic works. Rea­sonable content-neutral regulation of the ‘time, place, and manner’ of presentations should be developed and maintained. Academic institutions are obliged to ensure that regulations and procedures do not impair freedom of expression or discourage creativity by subjecting artistic work to tests of propriety or ideology.” (American Association of University Professors. 2006. “Academic Freedom and Artistic Expression.” *AAUP Policy Documents & Reports, Tenth Edi­tion*, p. 35)

The University of Alabama in Huntsville is “…not responsible for the views or the attitudes ex­pressed in speciﬁc artistic works any more than …[it] would be for the content of other instruc­tion, scholarly publication, or invited speeches. Correspondingly, those [faculty and students] who present artistic work should not represent themselves or their work as speaking for the institution and should otherwise fulﬁll their educational and professional responsibilities.” (American Association of University Professors. 2006. “Academic Freedom and Artistic Expres­sion.” *AAUP Policy Documents & Reports, Tenth Edition*, p. 35)

*7.14.2.3.Academic Freedom in Teaching*

“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.” (American Association of

University Professors. 2006. “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” *AAUP Policy Documents & Reports, Tenth Edition*, p. 3)

*7.14.2.4.Academic Freedom in Extramural Utterances*

“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.” (Ameri­can Association of University Professors. 2006. “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” *AAUP Policy Documents & Reports, Tenth Edition*, pp. 3-4)

If the administration believes that a faculty member’s extramural utterances have not complied with the admonition to “…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….” (American Association of University Professors. 2006. “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” *AAUP Policy Documents & Reports, Tenth Edition*, pp. 3-4), the university may take disciplinary action against the faculty member. Any such disciplinary action must be taken in accordance with Section 7.14 and in accordance with all procedural protections prescribed American Association of University Pro­fessors’ “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpre­tive Comments.” (*AAUP Policy Documents & Reports, Tenth Edition*, pp. 3-4). In disciplinary case in which the administration seeks to dismiss a faculty member for external utterances that do not comply with the aforementioned admonitions, “The controlling principle is that a faculty member’s expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member’s unﬁtness to serve. Extramural utterances rarely bear upon the faculty member’s ﬁtness for continuing service. Moreover, a ﬁnal decision should take into account the faculty member’s entire record as a teacher and scholar. In the absence of weighty evidence of unﬁtness, the administration should not confer charges; and if it is not clearly proved in the [disciplinary] hearing that the faculty member is unﬁt to con­tinue…”(American Association of University Professors’ “Committee A Statement on Extramu­ral Utterances,” *AAUP Policy Documents & Reports, Tenth Edition*, p. 32.), the ﬁnding must be that there is not cause for dismissal of the faculty member.

**7.14.3.Professional Ethics**

The University adopts the following excerpt from the "Statement on Professional Ethics" from the A*AUP Policy Documents and Reports*, (2006) (pp. 171-172):

*1. 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.*

*2. 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.*

*3. 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.*

*4. 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.*

*5. 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.*

**7.14.4.Extramural Professional Activities**

UAH recognizes contributions and achievements by its faculty not only through appropriate compensation and promotion, but also by permitting faculty members substantial freedom in arranging their academic lives. Although teaching, research and service to the university are the primary functions of UAH faculty, the university recognizes the desirability of making faculty skills available to outside entities such as business, government, professional societies, and other appropriate groups consistent with their commitment to the university. Providing outside services of a professional nature contributes signiﬁcantly to the public welfare, offers opportu­nities for professional challenge and growth, brings recognition to the institution, and contrib­utes to the improvement of teaching and research programs. For these reasons, UAH encour­ages faculty professional activities outside the university so long as such activity is consistent with the mission and goals of the university and does not compromise the university, or unduly limit the faculty member's ability to fulﬁll his or her primary obligations to the university.

The university has no interest in setting forth policies and procedures that may interfere with legitimate outside interests of faculty members. Issues of academic freedom are addressed in Section 7.15.2.

By accepting employment with UAH in any categories of appointment, except adjunct faculty appointments and temporary, ﬁxed-assignment faculty appointments, faculty members conﬁrm that their primary professional commitment is to the university and have a responsibility to en­sure that extramural professional activities do not interfere with this primary obligation. With the exception of faculty members appointed as adjunct or temporary, ﬁxed-assignment faculty, all faculty members who engage in private business ventures that directly compete against the university or who participate for compensation in a private business that utilizes the faculty member’s professional background and qualiﬁcations essential to his or her faculty position, including private consulting activities, shall comply with the university’s policy on conﬂicts of interest in Section 7.15.5.

**7.14.5.Conﬂicts of Interest**

The purpose of this policy is to set forth guidelines and procedures in identifying and resolving actual and potential conﬂicts of interest. The policy also pertains to all sponsored projects of conducted by a faculty member through the university.

*7.14.5.1.What Constitutes a Conﬂict of Interest*

A conﬂict of interest exists when a faculty member's responsibility for teaching, scholarly and/ or creative activities, or service is threatened or harmed because of an external relationship which directly or indirectly affects the ﬁnancial interest of the faculty member or the ﬁnancial interest of a family member or associate of the faculty member. For the purposes of this policy, a "family member" is deﬁned as spouse, adult sponsored dependent, children, parents, grand­parents, grandchildren, siblings, and other similar relationship in-law; an associate is deﬁned as a business partner. In addition, a conﬂict of interest exists when a faculty member makes more than a de minimus use of university academic, administrative, or other resources, or inﬂuences university decisions in such a way that could or does lead to personal gain or improper per­sonal advantage or advantage to a family member or associate.

All faculty members must insure that their conduct meets high ethical standards. This includes identiﬁcation and disclosure of actual and potential conﬂicts of interest. Situations in which concern about possible conﬂicts may arise include but are not limited to the following:

a. Any situation in which the actions of the faculty member in discharging his or her duties as an employee of the university may directly or indirectly affect the ﬁnancial interest of a family member or associate.

b.Any situation in which the faculty member provides services or material for the university and receives payment beyond normal compensation as a university employee.

c. Any situation in which a faculty member makes more than a de minimus use of university resources (including its students and its name) in such a way that could lead to personal gain, improper personal advantage, or advantage to a family member or associate of the family member.

d.Any situation in which a faculty member or a family member or associate of a faculty member participates in a private business venture that directly competes against the uni­versity, especially if the competitive ability of the business can be enhanced as a result of the faculty member's position at UAH.

e. Any situation in which a faculty member, other than an adjunct faculty member or a tem­porary, ﬁxed-assignment faculty, participates in a private business utilizing his or her pro­fessional expertise derived from professional background and qualiﬁcations essential to the faculty position in such a manner as to compete with the university, especially in ac­tivities that could be done by the faculty member as a funded activity through the univer­sity.

f. Any situation in which the faculty member, other than an adjunct faculty member or a temporary, ﬁxed-assignment faculty, teaches for another institution.

g.In situations in which UAH is engaged in or has the intent to engage in a sponsored pro­ject with an external commercial organization, a conﬂict of interest may occur if the fac­ulty member has an existing afﬁliation with the external commercial organization, or with an organization that has a subcontractor or vendor relationship with that external com­mercial organization. Such afﬁliation may include, but not be limited to the following: 1) faculty member is ofﬁcer, director, trustee, partner, employee, board member or agent; 2) faculty member is owner or beneﬁcial owner of the voting stock or controlling interest; or 3) faculty member receives signiﬁcant income from the funding organization, a subcon­tractor or vendor. The Ofﬁce of Research Administration retains copies of appropriate federal guidelines on acceptable afﬁliations. Faculty members are expected to comply fully and promptly with all policy components, and principal investigators on sponsored projects must complete the appropriate disclosure form before proposal submission or whenever a potential conﬂict arises during the course of a sponsored program.

*7.14.5.2.Procedures for Disclosing and Resolving Potential Conﬂicts of Interest*

The university and its faculty have the obligation to identify and resolve any potential for con­ﬂict of interest. Identiﬁcation of potential conﬂict of interest may also be required by state or federal laws and by the regulations of various funding organizations such as the National Sci­ence Foundation. Timely disclosure of circumstances that could, reasonably, be perceived as involving conﬂict of interest, even though no actual conﬂict of interest exists, can prevent dis­ruptive allegations of misconduct and can better enable the university to protect its faculty against unwarranted allegations of impropriety.

Faculty members with possible conﬂict of interest, or those engaging in activities that could be perceived as involving conﬂict of interest that could affect the university, must consult with their chair and dean to seek resolution of the issue. In such cases, if the Chair and Dean agree that there is a potential conﬂict of interest, the faculty member, Dean, and Chair shall establish a plan of action to provide a course of action to prevent conﬂicts and shall give a copy of the plan of action to the Provost.

To aid in identifying potential conﬂict of interest and to insure compliance with the regulations of funding agencies, principal investigators seeking external funding for university approved projects must ﬁle a disclosure form with the submission of the project proposal (Appendix J). While the grant or contract is pending or in place, disclosure must be ﬁled whenever there is a change from the situation described in the latest disclosure form.

All faculty members who have substantial ownership of a private business or corporation and whose activities in that business or corporation make substantial use of the faculty member’s professional background and qualiﬁcations essential to his or her faculty, must disclose such ownership and activities to their chair and dean, and must obtain approval for any such activi­ties engaged in by the faculty member during the academic year. Such activities must be re­viewed at least annually. Disclosure and request for approval of such activities must be proc­essed using the form employed for approval of consulting activities as given in Appendix J.

Sponsors of funded projects such as governmental agencies may have varying disclosure re­quirements. These requirements may differ from those established in this policy with respect to other disclosure items, amounts, timing of disclosure, and other conﬂict of interest considera­tions. In such instances, the legal requirements will prevail.

*7.14.5.3.Professional Review Committee*

When an alleged or potential conﬂict arises, the faculty member, in consultation with faculty member’s department chair and dean, shall take action to achieve appropriate resolution of the issue. If resolution is not to the satisfaction of the faculty member or the dean, the case may be referred to the Provost by either party. The Provost will refer the ﬁle to an ad hoc professional review committee. The professional review committee will be responsible for reviewing the situation and making a timely, written recommendation(s) to the Provost.

The professional review committee (PRC) will consist of ﬁve tenured faculty members, three from the faculty member's college and two from outside the college. The members of the committee are appointed by the Provost from a list of twelve eligible faculty members, four each suggested by the faculty member, the faculty member’s department chair, and the faculty member’s dean. At least one member from each list must be included. The PRC will elect one of its members to serve as chair of the committee. The Provost may appoint additional appro­priate ex ofﬁcio, non-voting members. A simple majority of voting members is required for ac­tion. Except in unusual circumstances, deans and other administrators within the academic setting will not serve on the professional review committee. If the faculty member is not satis­ﬁed with the professional review committee's recommendations, the faculty member may ap­peal following the normal grievance procedure speciﬁed in Appendix E, beginning with an ap­peal to the Provost.

After proposed activities have been reviewed and a plan of resolution submitted to and ap­proved by the Provost, the university has the obligation to defend the activity given that the faculty member complies with the plan of action, other appropriate university policies, disclo­sure requirements, and the law.

*7.14.5.4.Procedures for Handling Allegations of Violation of Conﬂict of Interest Policy*

Any allegation of violation, by a faculty member, of the Conﬂict of Interest or Consultation Poli­cies shall be reported in writing with supporting documentation to the faculty member's chair and dean. The faculty member against whom the allegations are made will be provided a copy of the written allegations at the time of the ﬁrst review by the Chair and the Dean. If the allega­tions involve the dean, the allegations are reported to the Provost who assumes the role of the dean in the following process. It is the duty of the Chair and dean to review and discuss the allegations with all parties involved, including the faculty member accused of violating a con­ﬂict of interest policy. If the matter cannot be resolved at this level, then an ad hoc professional review committee will be formed in accordance with procedures articulated in Section 7.15.5.3. In such cases, the professional review committee will be responsible for conducting an inde­pendent investigation of the allegations of violation of the conﬂict of interest policy, to make a ﬁnding of whether or not the weight of evidence substantiates the allegations, and to make recommendations regarding the resolution of the case. These recommendations may include, but are not limited to, recommending that:

a. all charges be dismissed, b.appropriate sanctions be imposed without specifying the sanctions, or

c. speciﬁc sanctions be imposed.

The committee prepares a report of its ﬁndings and recommendations and submits it to the Provost. The Provost communicates his or her decision to the faculty member and includes a copy of the committee report. Sanctions may not be imposed on a faculty member unless

a. the faculty member agrees, in writing, to accept the sanctions, or b.the sanctions are consistent with the ﬁndings of the professional review committee.

Sanctions may not include long-term suspension or the termination of a tenured faculty mem­ber. In extreme cases, however, procedures leading to suspension for more than one month or for the termination of a tenured faculty member may be initiated as a result of the committee's ﬁndings, with the committee's report being admissible evidence in these proceedings. In every case, of course, the faculty member has full right to appeal through normal university grievance procedures. Willful violations of this policy such as failure to disclose an actual or potential conﬂict, or fail­ure to follow a plan of action established by the appropriate dean or the Provost, will result in sanctions being imposed upon the faculty member.

Throughout the process all persons involved must maintain the highest possible standards of ethics. Conﬁdentiality must be insured to the greatest extent possible consistent with the carry­ing out of reviews and all involved must strive to maintain impartiality.

Records pertaining to disclosure and professional review committee proceedings are main­tained in the Ofﬁce of the Provost and access will be permitted only to the faculty member, and others who, under existing law, have the right to review such records.

*7.14.5.5.Conﬂict of Interest Pertaining to Family Members*

Reasonable restrictions are set on the capacity of all individuals with faculty status employed by the university to function as judge or advocate in speciﬁc situations involving members of their immediate family. Faculty members may neither initiate nor participate in institutional de­cisions involving a direct beneﬁt to a family member, including decisions pertaining to initial appointment, retention, promotion, salary, leaves-of-absence, and other such beneﬁts to family members, as deﬁned in Section 7.15.5.1. No appointing authority may employ or appoint a person related to him or her within the fourth degree of afﬁnity or consanguinity to any job or position within the university.

*7.14.5.6.Tutoring*

No faculty member is permitted to tutor any UAHuntsville student for compensation except with the permission of the Chair of the department or program in which the student is being tutored and only in those cases where the tutor has no direct connection with the course in which the student is being tutored.

*7.14.5.7.Political Activity*

Faculty members are authorized to engage in political activity provided that it does not result in a conﬂict of interest or interfere with their performance of assigned duties at the university or their ethical obligations as teachers and scholars. Public support of a political candidate or cause may be given by faculty members if they clearly indicate that they speak for themselves and not for the university. Faculty members may not lend the name of their university positions or departments to the political campaigns of public candidates or to any causes that become matters of civic concern.

Faculty members desiring to seek election to public ofﬁce must ﬁrst obtain written consent from the chancellor through appropriate reporting channels.

No faculty member may use or permit to be used university resources, time, or property for or on behalf of any political candidate, campaign, or organization or for any contribution or solici­tation of any contribution to any campaign or organization. Faculty members should not solicit contributions of time or money for political parties or campaigns from students enrolled their classes.

Political activity on the part of a faculty member must comply with Rule 320 of the Board of Trustees of The University of Alabama and existing state and federal laws. Faculty members who have a question about their involvement in such activities should seek guidance and ap­proval from the university’s Ofﬁce of Counsel.

UAH Faculty Handbook (2013)

Violations of this policy are grounds for disciplinary action, in accordance with Section 7.14.

*7.14.5.8.Service as Bank Director by University Ofﬁcers*

For the purpose of maintaining Board practice and policy and of preventing the appearance of conﬂicts of interest, no faculty member serving in the capacity of chancellor, president, vice president, ﬁnancial ofﬁcer, or any other administrator whose position permits a substantial in­ﬂuence on the nature or extent of banking relations and transactions shall accept appointment or election as a director of a bank or savings and loan association.

No faculty member serving in any position as a campus administrator may accept such an ap­pointment until the president has made, and the chancellor has afﬁrmed, a determination that the position is not one that permits a substantial inﬂuence on the nature or extent of banking relations and transactions.

**7.14.6.Faculty-Student Relationships**

Faculty members shall not initiate or reciprocate a sexual or romantic relationship with a stu­dent enrolled in any of their classes or under their supervision. Faculty members entering into such relationships with an existing student are subject to disciplinary action in accordance with Section 7.14.

In cases in which there is prior sexual or romantic relationships between a faculty member and an individual entering a faculty member’s class as a student or coming under the faculty mem­ber’s supervision as a student, the faculty member must disclose the relationship to his or her chair or equivalent and dean in order to avoid or mitigate any potential conﬂicts of interest and/ or sexual harassment claims that might arise as a result of the relationship. Faculty members in such relationships also have a responsibility to act in a professional manner with respect to the student during class hours to avoid conﬂicts of interest claims that may arise from other stu­dents in the class. Faculty members who do not disclose such prior sexual or romantic rela­tionships with an individual who becomes their student are subject to disciplinary action in ac­cordance with Section 7.14.