

FACULTY SENATE

MEETING #622 AGENDA

CHAN Auditorium

THURSDAY, November 18, 2021

12:50 PM to 2:20 PM

Call to Order

- 1. Approve Faculty Senate Meeting #621 Minutes from October 21, 2021**
- 2. Accept FSEC Report from November 11, 2021**

3. Administrative Reports

4. Officer and Committee Reports

<ul style="list-style-type: none">• President Carmen Scholz• President-Elect Joey Taylor• Past-President Tim Newman• Parliamentarian Mike Banish• Ombudsperson Officer Carolyn Sanders• Governance and Operations Committee Chair Andrei Gandila	<ul style="list-style-type: none">• Undergraduate Curriculum Committee Chair: Christina Steidl• Finance and Resources Committee Chair Laird Burns• Undergraduate Scholastic Affairs Committee Chair Emil Jovanov• Faculty and Student Development Committee Chair Elizabeth Barnby• Personnel Committee Chair Andrea Word
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5. University Committee Reports

6. Business

- SB 462 Chapter 7
- Blood Borne Pathogen policy
- SB 467
- SB 468
- SB 466
- SB 457

7. Adjourn

Proxies for Senate meetings must be a Senate-eligible individual from the same academic unit. No individual may carry more than one proxy.

PLEASE SEND PROXIES TO LAUREN BAKER: facsen@uah.edu

UAH BLOODBORNE PATHOGEN CONTROL PLAN

Effective Date: February 2021

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INTRODUCTION

Using the OSHA Bloodborne Pathogens Standard, 29 CFR 1910.1030, as a guide, UAH has developed an Exposure Control Plan, otherwise known as the UAH Bloodborne Pathogen Control Plan, to eliminate or minimize the occupational exposure to bloodborne pathogens (BBP), which are defined as pathogenic microorganisms that are present in human blood, human body fluids, human tissues or other potentially infectious material.

In addition to blood, other potentially infectious materials (OPIM) are:

The following human body fluids: semen, vaginal secretions, cerebrospinal fluid, synovial fluid, pleural fluid, pericardial fluid, peritoneal fluid, amniotic fluid, saliva in dental procedures, any body fluid that is visibly contaminated with blood, and all body fluids in situations where it is difficult or impossible to differentiate between body fluids;

Any unfixed tissue or organ other than intact skin from a human (living or dead);

Human cell lines or cultures, human tissue cultures, human organ cultures;

Blood, body fluids or other tissues from non-human primates;

Blood, body fluids or other tissues from experimental animals infected with BBP; and

Liquid or solid culture medium or other materials containing biological agents capable of causing disease in healthy adults (i.e., equivalent to agents handled at Biosafety Level 2 or above).

SCOPE

The BBP Plan applies to all University of Alabama in Huntsville (UAH) faculty, staff and student employees that may reasonably anticipate skin, eye, mucous membrane, or parenteral (under the skin) contact with blood or OPIM during the performance of their job duties at UAH.

RESPONSIBILITY

Department heads and supervisors are responsible for ensuring their employees comply with the provisions of the BBP Plan. Each department is responsible for providing all necessary supplies, such as personal protective equipment, soap, bleach, Hepatitis B vaccinations, etc., to its employees. The Office of Environmental Health and Safety (OEHS) shall be responsible for making training available to UAH employees as to the requirements of the BBP Plan and for disposing of biohazardous waste. Each supervisor is responsible for ensuring their affected employees attend training.

The BBP Plan will be reviewed and updated annually by UAH OEHS and/or whenever necessary to reflect new or modified tasks and procedures which affect occupational exposure and to reflect new or revised employee positions with occupational exposure. The review of the BBP Plan shall also reflect changes in technology that eliminate or reduce exposure to bloodborne pathogens and document annually consideration and implementation of appropriate commercially available and effective safer medical devices designed to eliminate or minimize occupational exposure. Implementation of the BBP Plan is monitored and coordinated by OEHS. The UAH General Safety and Laboratory Safety Committee manages and oversees compliance

of the BBP Plan. Additional information can be found in the University Biosafety Manual and the webpage of the UAH OEHS <https://www.uah.edu/OEHS>. Questions or concerns can be addressed to the OEHS at (256) 824-2171.

BBP EXPOSURE DETERMINATION

BBP Exposure Determination is made without regard to the use of personal protective equipment (i.e., employees whose expected job functions include occupational exposure to blood or OPIM are considered to be exposed even if they wear personal protective equipment). The purpose of an Exposure Determination is to identify the UAH job classifications that are required to comply with this BBP Plan.

Each University unit must develop a list of **job classifications** and/or job descriptions under their supervision that may have occupational exposure to BBP. Supervisors are responsible for ensuring that applicable employees comply with the BBP Plan. Supervisors should provide a list of applicable employees to OEHS so that training can be offered to those employees. Employees that provide first aid as a collateral duty, such as those working at the Student Health Center, those working at the UAH Faculty and Staff Clinic, nursing staff and students, police officers, custodians, athletic trainers or those trained to use the AED (Automated External Defibrillators), may have exposure to BBP and OPIM and must comply with the BBP Plan.

COMPLIANCE METHODOLOGY

UAH protects its employees by implementing the BBP Plan. UAH follows all "Universal Precautions" to help keep employees protected and healthy when there may be the potential to come into contact with blood or other body fluids. These "Universal Precautions" help to prevent the spread of infection. These precautions treat all human blood, body fluids and OPIM as if they are infectious.

EXPOSURE CONTROL

Employees covered under the BBP Plan must receive an explanation of hazards of their jobs and how to protect themselves as per the BBP Plan during their initial training session. All employees have the opportunity to review the BBP Plan at any time during their work shifts by visiting <https://www.uah.edu/OEHS>. When requested by an employee, a copy of the BBP Plan will be provided free of charge. The UAH OEHS is responsible for reviewing and updating the BBP Plan annually, or more frequently if necessary, to reflect new regulations or modified tasks and procedures that affect occupational exposure.

This plan has many stages to eliminate or reduce potential risk of exposure to employees. These stages include:

- Engineering controls
- Work practice controls

- Use of personal protective equipment
- Employee training
- Vaccination

Engineering Controls

Engineering Controls are controls that isolate or remove the bloodborne pathogen's hazard from the workplace. Examples: sharps disposal containers, self-sheathing needles, safer medical devices such as sharps with engineered sharps injury protections and needleless systems. Where potential for occupational exposure still exists after implementation of these controls, personal protective equipment shall also be utilized. UAH will identify the need for changes in engineering controls and work practices through reviews of the sharp's injuries with follow-up exposure investigation and thorough discussion with the appropriate supervisor and/or safety committee.

Sharps Containers: The container is to be open when in use to allow unobstructed access and securely closed for disposal in a waste stream designated for biohazardous waste. Only approved sharps containers are to be utilized. The person disposing of sharps is responsible for monitoring the container and disposing of the container when it is two-thirds full. Contact the **OEHS at 2171** for sharps disposal.

Biosafety Cabinets: The person working in the cabinet will disinfect the work surface of the cabinet after each use. If the cabinet has a front drain, it will be checked monthly, disinfected, and drained if required. The cabinet will have an annual performance certification that the Principal Investigator is responsible for arranging. This certification is also required prior to initial cabinet use or prior to use after any cabinet relocation.

Sharps with Engineered Sharps Injury Protections: These devices are needle-less or otherwise altered with a built-in feature or mechanism that effectively reduces the risk of an exposure incident. It is recommended that these devices be utilized in all applications at UAH when there is potential for occupational exposure to blood or OPIM involving sharps.

Implementation or active evaluation of engineered sharps devices is mandated in the following instances:

- 1. University employees with human subject research or direct patient contact duties.** Examples include drawing blood or administering injections.
- 2. University employees working with experimental animals at animal biosafety level 2 (ABSL-2+) or above.** Examples include injection of lentiviral agents into animals or blood draws from animals exposed to lentiviral agents.
- 3. University employees working at ABSL-2 and for whom it has been determined present a high risk of significant exposure to dangerous pathogens via sharps injury.** Examples include injections of rabies virus or plasmodium species into animals.

It is the responsibility of those with supervisory or managerial duties at UAH to ensure that employees in these categories are utilizing engineered sharps devices. It is also the responsibility of the supervisor to include non-managerial staff in the evaluation of safety devices. A list of these devices is available at the Occupational Health Care Worker Safety Center at the University of Virginia Health System at the following website:

<https://www.fm.virginia.edu/depts/ohs/index.html#>

Supervisors may contact the OEHS at (256) 824-2171 to develop a lab specific or protocol specific evaluation form. Supervisors should utilize these protocol and forms to solicit input from the non-managerial employees with respect to the selection of safety devices.

If a supervisor does not believe that utilizing an engineered sharps device is possible or warranted for a specific application, they must:

- Document which engineered sharps devices have been evaluated, the extent of the evaluation, and identify which employees performed the evaluations.
- Document the rationale for not utilizing an engineered sharps device. This rationale is only acceptable if it demonstrates the device is medically contraindicated for the human or animal research subject, is unreliable in operation, or is incompatible with another essential component of the research.

Work Area Restrictions

General: In work areas where there is a reasonable likelihood of exposure to blood or OPIM, employees should comply with the following work area restrictions:

- No eating or drinking, applying cosmetics or lip balms, smoking or handling contact lenses.
- Food and beverages are not kept in refrigerators, freezers, shelves, cabinets, or counter tops or bench tops where blood or OPIM are present.
- Mouth pipetting is prohibited; automatic or manual pipetting devices should be provided.
- All procedures will be conducted in a manner that will minimize splashing, spraying, splattering, and generation of droplets of blood or other potentially infectious material.

Research Facilities: This section applies to research laboratories engaged in culture, concentration, experimentation, and manipulation of potentially infectious materials.

- Laboratory doors shall be kept closed when work with blood and OPIM is in progress.
- Access to the work area shall be restricted to authorized personnel. Only personnel trained on the potential hazards of blood and OPIM and who comply with the entry and exit procedures shall be allowed to enter.
- Vacuum lines shall be protected with liquid disinfectant traps and HEPA filters that are checked twice a year and replaced as necessary. Filters must be labeled with the date installed.
- Each laboratory shall contain a facility for hand washing and an eye wash station.

Work Practice Controls

Work Practice Controls are controls that reduce the likelihood of exposure by altering the manner in which a task is performed:

- I. Housekeeping Precautions
- II. Laundry Precautions
- III. First-Aid Precautions

I. Housekeeping Precautions

To prevent contamination:

- Use a dust pan and broom to pick up sharp objects
- Place sharp objects in labeled sharps container
- Place all contaminated waste in red biohazard bags within a secondary container
- Wash hands as soon as possible after contamination and after removing gloves
- Do not handle items such as pens, door handles, elevator buttons while wearing gloves
- Do not wear gloves out of the laboratory

1) *Hand Washing*

Hand washing is considered to be the single most important defense against disease transmission. Hand washing facilities are available to the employees with potential exposure to blood or OPIM. Supervisors must make sure that employees wash hands as soon as possible after an exposure to blood or OPIM. If employees incur exposure to their skin or mucous membranes, those areas shall be washed or flushed with water as appropriate as soon as feasible following contact. To wash your hands, you must follow special procedures to avoid cross-contamination.

- Turn on the water
- Wet your hands
- Apply soap
- Rub your hands together, for at least 20 seconds
- Rinse your hands
- Use a dry paper towel to turn the water off

Thorough hand washing is extremely important, but soap and water alone have not been shown to kill pathogens. This is why it is necessary to wear disposable, water-impervious vinyl or latex gloves whenever there is a potential for exposure to blood or OPIM visibly tinged with blood and any object contaminated with these fluids.

When hand washing facilities are not readily available, either an appropriate antiseptic hand cleanser in conjunction with clean cloth/paper towels or antiseptic towelettes should be used. When antiseptic hand cleansers or towelettes are used, be sure to wash hands with soap and running water as soon as possible. Hands should also be washed as soon as possible after removing gloves or any other personal protective equipment.

2) *Needles*

- Contaminated needles and other contaminated sharps shall not be bent, recapped, removed, sheared or purposely broken.
- If no alternative is feasible, then the recapping or removal of the needle must be accomplished using a mechanical device or the one-handed technique.

3) *Specimen Containers:*

- Specimens of blood or OPIM will be placed in a container that prevents leakage during the collection, handling, processing, storage, and transport of the specimens.
- The container used for this purpose will be labeled or color-coded in accordance with OSHA standards.
- Any specimens that could puncture a primary container will be placed within a secondary container that is puncture resistant.
- If outside contamination of the primary container occurs, the primary container shall be placed within a secondary container that prevents leakage during the handling, processing, storage, transport, or shipping of the specimen.

4) *Sharps Containers*

- Known or suspected contaminated sharps shall be discarded immediately or as soon as feasible in containers that are closeable, puncture-resistant, leak-proof on sides and bottom, and marked with an appropriate biohazard label. If sharps container is not pre-labeled, biohazard labels are available through EHS.
- Must not be opened, emptied or cleaned manually or in any other manner that would expose employees to the risk of injury.
- When containers of contaminated sharps are being moved from the area of use or discovery, the containers shall be closed immediately before removal or replacement to prevent spillage or protrusion of contents during handling, storage, transport, or shipping.

5) *Containers for Reusable Sharps:*

Contaminated sharps that are reusable are to be placed immediately or as soon as feasible after use into appropriate containers that do not require employees to reach by hand into the container. At UAH these containers are puncture resistant, labeled with a biohazard symbol, and are leak proof on the sides and bottom.

6) *Cleaning and Decontamination*

All equipment, environmental, and other working surfaces need to be cleaned and decontaminated after contact with blood or OPIM. Each Principal Investigator with laboratories presenting an exposure hazard must determine and implement an appropriate **written schedule for cleaning and decontamination process**.

Written schedules must include and be based on the:

- Location
- Type of surfaces
- The tasks or procedures to be performed in the area
- The necessary personal protective equipment
- The disinfectant necessary
 - The disinfecting agent should be selected based on the area or substance to be decontaminated as well as the suspected agents to be destroyed. Information concerning the utility and selection of disinfectants may be obtained by visiting the National Pesticide Information Center and reading the section titled “Selecting the Right Antimicrobial” at <http://npic.orst.edu/ingred/ptype/amicrob/index.html>.
 - Must be left in contact with contaminated work surfaces, tools, objects, or OPIM for at least 10-20 minutes before cleaning.
- Cleaning wet blood/bodily fluids:
 - Put on protective disposable gloves and use PPE appropriate to the task
 - Place paper towel or absorbent material over the contaminated fluid to soak up the fluid
 - Discard the contaminated materials in a red biohazard bag
 - Spray contaminated area with disinfectant
 - Leave the disinfectant solution in contact with the contaminated surface for at least 10-20 minutes
 - Wipe up remaining disinfectant solution with disposable paper towels
 - Use red biohazard bag for contaminated paper towels
 - Repeat steps as needed
 - Spray area again with disinfectant solution and wipe dry
 - More information is available at: https://www.osha.gov/sites/default/files/CDC's_Guidelines_for_Environmental_Infection_Control.pdf

- Cleaning dried blood/body fluids:
 - Spray with disinfectant solution
 - Wipe with paper towel
- Properly dispose of contaminated personal protective equipment, towels, rags in a red biohazard bag inside a rigid, puncture resistant, leak-proof secondary container with a biohazard label on the outside of the container and lid, during use, storage, and transport.

1) *Equipment*

- All work surfaces must be decontaminated after completion of procedures and immediately or as soon as feasible after any spill of blood or OPIM, as well as at the end of the work shift if the surface may have become contaminated since the last cleaning
- Equipment that has become potentially contaminated with blood or OPIM shall be decontaminated as necessary unless the decontamination of the equipment is not feasible.
- If decontamination of equipment or portions thereof is not feasible, then readily observable labels shall be attached to equipment which remains contaminated. The labels shall state which portions remain contaminated. The equipment should also be wrapped or contained to prevent exposure to contaminants.

2) *All bins, pails, cans, and similar receptacles intended for reuse which may have become contaminated:*

- Must be cleaned and decontaminated immediately or soon as feasible upon visible contamination.
- Must be inspected and decontaminated on a regularly scheduled basis, at least a monthly basis.

II. Laundry Precautions

- Wear gloves and other personal protective equipment to handle contaminated laundry and separate contaminated laundry from non-contaminated.
- Contaminated laundry shall be placed and transported in bags or containers labeled or color-coded in accordance with 29 CFR 1910.1030(d)(4)(iv)(A)(2). Whenever contaminated laundry is wet and presents a reasonable likelihood of soak-through or leakage from

the bag, the laundry shall be placed and transported in bags or containers which prevent soak-through or leakage.

- Bag and handle contaminated laundry with a minimal amount of agitation, at the location where it was used.
- Use melt away bags that can be thrown directly into washers without having to unload or remove contaminated laundry from bags.
- Rinsing soiled laundry in the utility rooms is acceptable, if it is not contaminated with blood, OPIM, or does not contain sharps.
- Do not hold contaminated laundry bags close to your body or squeeze or place your hand underneath to support when transporting.

III. First-Aid Precautions

- Wash your hands before and after any medical intervention.
- Wear gloves whenever you are in contact with another's blood, bodily secretions, or tissues.
- Wear a facemask or body gown whenever there is a possibility of blood splashing onto the rescuer.
- Dispose of contaminated sharp objects in the appropriate puncture-proof container.
- Dispose of all contaminated equipment in an appropriate biohazard container.

If you get blood on you:

- Wash it off as soon as possible with soap and water
- Flush your eyes with water at a sink or eyewash station immediately
- Report the incident to your supervisor

Personal Protective Equipment (PPE)

All PPE used at this facility will be readily accessible in appropriate sizes and without cost to employees. PPE will be chosen based on the anticipated exposure to blood or OPIM. The UAH Biosafety Manual and OEHHS are available for consultation on selection of appropriate PPE. The PPE will be considered appropriate only if it does not permit blood or OPIM to pass through or reach the employees' clothing, skin, eyes, mouth, or other mucous membranes under normal conditions of use and for the duration of time that the PPE will be used.

Employees Must:

- Utilize PPE in occupational exposure situations.
- Remove garments that become penetrated by blood or OPIM immediately or as soon as feasible.
- Replace all personal protective clothing that are torn or punctured, or that lose their ability to function as a barrier to BBP and OPIM.

- Remove all PPE before leaving the work area. It shall then be placed in an appropriately designated container or area for storage, washing, decontamination, or disposal.
- Wash hands immediately or as soon as feasible after removal of gloves or other PPE.

Gloves:

- Shall be worn when it can be reasonably anticipated that the employee may have hand contact with blood, OPIM, mucous membranes, and non-intact skin; when performing vascular access procedures; and when handling or touching contaminated items or surfaces.
- Should be worn whenever touching blood and OPIM
- When cleaning toilets and sinks
- When handling trash

When emptying trash watch for:

- Sharp objects
 - Broken glassware
 - Used syringes
- Change gloves when one or both are torn or punctured
 - Not to be worn outside of the work area

Protective Clothing/Footwear:

- Shall be worn as an effective barrier against blood and OPIM

Face Shields and Eye Protection:

- Shall be worn whenever splashes, spray, spatter, droplets, or aerosols may be generated causing eye, nose, or mouth contamination

REGULATED WASTE DISPOSAL:

Regulated waste includes liquid or semi-liquid blood or OPIM, contaminated items that would release blood or OPIM if compressed, items caked with dried blood or OPIM that are capable of releasing these infectious agents during handling, and sharps.

- All sharps shall be discarded as soon as feasible in sharps containers that are located in the facility. The sharps containers must be labeled with the biohazards symbol.
- Containers must be closable, puncture-resistant and leak resistant.
- Regulated solid wastes shall be placed in red polyethylene biohazard bags that are at least 3-mil thick. All solid wastes must be autoclaved (121 Degrees C, 60 - 90 minutes) prior to removal from the premises. Disposal is accomplished by placing the red biohazard bag in a leak proof trash container and removed from the building for pickup.
- Regulated liquid wastes should be carefully poured into the appropriate disinfectant to deactivate the biohazardous agent.

- Following sufficient contact time, the disinfected liquid may be disposed of in the sanitary sewer. This should be done carefully to avoid aerosol generation and splashing. Afterwards the drain should be flushed with disinfectant of sufficient volume to fill the trap.

More information on compliance methods can be found in the UAH Biosafety Manual https://www.uah.edu/images/administrative/facilities/oehs/documents/Biological_Safety_Manual.pdf.

HEPATITIS B VACCINATION PROGRAM

All University personnel (faculty, staff, and students), who have been identified as having exposure to blood or OPIM, must be provided or acquire a hepatitis B virus (HBV) vaccination series within 10 working days of initial assignment unless the employee has previously received the complete HBV vaccination series, antibody testing has revealed that the employee is immune, or the vaccine is contraindicated for medical reasons. They have the option to decline the vaccination but must read and sign the Vaccination Declination Form (Attachment A) within 24 hours of the assignment. This form verifies that personnel were informed of the potential health hazards that HBV represents in their work environment. In addition, the form records the individual's choice to decline the HBV vaccination. Employees (faculty and staff) consenting to vaccination will receive the HBV vaccination at no cost. The cost is incurred by the employee's department. HBV vaccinations are provided through the UAH Faculty and Staff Clinic. The supervisor should contact the Faculty and Staff Clinic to arrange for vaccinations. Employees who initially decline the HBV vaccine but later wish to have it may have the HBV vaccination provided at no cost.

Students consenting to HBV vaccination must arrange for the HBV vaccination at the Student Health Center. Students must acknowledge their decision to decline the HBV vaccination by signing a Vaccine Declination Form from their academic department.

POST BLOODBORNE PATHOGENS EXPOSURE PROCEDURE

A BBP exposure incident occurs when potentially infectious material comes into contact with the eyes, mouth, other mucous membrane, damaged skin or penetration through the skin (parenteral—under the skin) during the performance of an employee's duties.

If you are exposed and the incident is an emergency or requires immediate medical attention:

- Call 9-1-1 and seek medical assistance and treatment without delay at the emergency room of a nearby local hospital.
- The injury should be reported to the supervisor as well as the On-the-Job Injury (OJI) Coordinator immediately.
- After receipt of immediate medical attention, submit a fully completed Employee Occupational Accident Report and an Employee Occupational Injury Claim & Medical Records Release to the OJI Coordinator. The forms may be found here:

<https://www.uah.edu/rmi/injuries>

If you are exposed during regular working hours and the incident is not an emergency and does not require immediate medical care:

- Rinse the affected area with copious quantities of water and prevent others from coming into contact with the pathogen.
- Contact the OJI Coordinator in the Office of Risk Management and Compliance so that the coordinator can schedule an appointment for your injury to be seen by an approved medical provider for post-exposure evaluation and/or medical treatment provided below in **Post-Bloodborne Pathogens Exposure Evaluation**.
- Notify your supervisor immediately after the BBP exposure incident and provide detailed information about the incident. The supervisor must ensure the timely submission of the Employee Occupational Accident Report and Employee Occupational Injury Claim & Medical Records Release to the OJI Coordinator. Contact information can be found here: <https://www.uah.edu/rmi/injuries>

A. Post BBP-Exposure Evaluation will include the following:

- Documentation of the route of exposure and the circumstances related to the incident.
- The employee will be offered the option of having blood collected for testing of the employee's HIV/HBV/HCV serological status. The blood sample will be preserved for at least 90 days to allow the employee to decide if the blood should be tested for HIV status. However, if the employee decides prior to that time that testing will be conducted then the appropriate action can be taken and the blood sample discarded.
- If necessary, the identification of the source and, if possible, the status of the source will be determined. If possible, the blood of the source subject will be tested (after consent is obtained) for HIV/HBV/HCV infectivity.
- Results of testing of the source subject will be made available to the exposed employee but the applicable laws and regulations concerning disclosure of the identity and infectivity of the source individual will be strictly followed. Current Alabama law concerning disclosure of the HIV status of an individual without consent is governed by the requirements of **the Alabama Confidentiality of HIV Related Information Act**. This law provides that an employee who has been notified of the identity and test result status of the source individual must not divulge this information to others unless the source individual signs a special written consent.
- The employee will be offered post-exposure prophylaxis in accordance with the current recommendations of the U.S. Department of Health and Human Services.
- The employee will be given appropriate counseling concerning precautions to take during the period after the exposure incident. The employee will also be given information on what potential illness to be alert for and to report experiences to appropriate personnel.

If the exposure involves a non-human primate or non-human primate tissue, the Standard Operating Procedures for Management of Herpes B Virus exposure or SIV exposure developed by Employee Health Services will be followed.

B. Procedures for Evaluating the Circumstances of a BBP Exposure Incident

Employees should notify their supervisor immediately after the exposure incident. The supervisor records the details of the exposure incident including the route of exposure, the infective agent and an estimate of the dosage.

The employee and his/her supervisor will submit the Employee Occupational Accident Report to the OJI Coordinator within no later than two (2) business days after the date the injury occurred. The report must include the route of exposure, the infective agent, and an estimate of the dosage.

Though the employee may not believe medical treatment is necessary, he/she must comply with a supervisor's direction to seek medical attention.

If the exposure involves a sharp, the supervisor will also collect and provide the following information regarding the exposure on the "SHARPS INJURY REPORT"(Attachment B):

The OEHS compiles these "Sharps Injury Report" forms into an "Occupational Injury Log." The OEHS will annually review the Sharps Injury Reports to determine if changes are necessary to the procedures outlined in the BBP Plan and to ensure that appropriate changes are implemented.

TRAINING PROGRAM

Training for all employees will be conducted prior to initial assignment to tasks where occupational exposure to bloodborne pathogens may occur. The OEHS conducts BBP Training annually. Training information is on the OEHS website.

Training for employees includes the following:

- Overview of bloodborne pathogens
- Epidemiology, symptoms, and routes of transmission of BBP
- Prevention techniques
- Explanation of the use of and limitations of engineering controls, work practices, and PPE
- Spill cleanup procedures
- Accident and Exposure follow-up procedures
- Elements of **29 CFR 1910.1030**
- BBP Plan, HBV vaccinations, methods of compliance, hazard communication, record keeping.

RECORDKEEPING PROGRAM

Employee Training records must be maintained within their departmental files and medical records should be maintained in accordance with 29 CFR 1910.1030(h).

ATTACHMENT A

The University of Alabama in Huntsville

Hepatitis B Vaccination Declination Form

I understand that due to my occupational exposure to blood or other potentially infectious materials I may be at risk of acquiring the hepatitis B virus (HBV) infection. I have been given the opportunity to be vaccinated with the hepatitis B vaccine, at no charge to myself. However, I decline the hepatitis B vaccination at this time. I understand that by declining this vaccine, I continue to be at risk of acquiring hepatitis B, a serious disease. If in the future I continue to have occupational exposure to blood or other potentially infectious materials and I want to be vaccinated with the hepatitis B vaccine, I can receive the vaccination series at no charge to me.

Signature _____ Date _____

Attachment B

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE SHARPS INJURY REPORT		
1	Employee Last Name	
2	Employee First name	
3	Charger ID	
4	Date of Incident	
5	Occupation	
6	Department	
7	Building	
8	Room number	
9	Brand of device	
10	Please provide a brief description of how the injury occurred, including the task which was being performed as well as any protective equipment worn or utilized	
11	Was an animal involved?	
12	Was immediate treatment sought? If so, where?	
13	Recommendation for preventing recurrence	
Office of Environmental Health and Safety		

Administrative Brief for Faculty Senate for November 2021

Prepared by Dr. Robert Lindquist

11/11/2021

Academic Affairs

- **Faculty Senate Bill Number 467**

- “The Faculty Senate requests that the administration must always refrain from and proactively police themselves against undertaking any actions that can be perceived as directly or indirectly attempting to influence in any way how any Faculty Senator will speak or vote during a meeting of the Faculty Senate.”
- Discuss at Dean’s Council on November 3, 2021

- **Faculty Senate Bill Number 464**

- “Be it resolved that the UAH Faculty Senate Restates its’ support for Faculty Senate Resolutions 16/17-02, 16/17-05, and 17/18-01,”
- “Be it further resolved that the UAH Administration update the Faculty Senate and the Faculty on their actions in response to Faculty Senate Resolutions 16/17-02, 16/17-05, and 17/18-01.”
- Faculty Senate Resolutions 17/18-01
 - MOU was drafted and VP for Advancement indicated that the scholarship was created.
- Faculty Senate Resolutions 16/17-05
 - “Cover a Charger”
 - Sent to VP for Advancement.
 - Update in Feb.
- Faculty Senate Resolutions 16/17-02
 - “Development Giving Directly to Departments”
 - Confusion as to what specifically is being asked
 - Alumni can give directly to department
 - Asking to bypass Advancement?

- **Faculty Senate Bill Number 466**

- “Fiscal Analysis of UAH Program Documents Submitted to UA-System Chancellor.”
- No attention as the Bill is intended for Chancellor

- **Faculty Senate Bill Number 468**
 - “Obligations for Deans to Meet with Faculty in Review Processes Involving Department Chairs”
 - Whereas don’t seem to support the request for changes to the handbook of the external and internal search process.
 - Whereas do seem to support consideration of changes to department chair review.
 - Discuss at Dean’s Council on November 3, 2021
 - Considerable variation from College to College
 - Update in Feb.
- **Faculty Senate Resolution 20/21-04: Faculty Senate Bylaws Update**
 - Poked Sid Trant at this past BOT meeting
 - Should be released soon.

**MEMORANDUM OF UNDERSTANDING REGARDING
UAH FACULTY SENATE SCHOLARSHIP**

This Memorandum of Understanding (MOU) by the Board of Trustees of The University of Alabama, an educational and constitutional instrumentality of the State of Alabama, incorporated by statute, for and on behalf of The University of Alabama in Huntsville (UAH or University), the UAH Faculty Senate and the University of Alabama Huntsville Foundation (the Foundation) (collectively, the parties) memorializes the parties' understanding regarding the UAH Faculty Senate Scholarship to benefit first-time freshman at UAH who are required to take coursework that is requisite but that may not count as credit toward their degrees.

RECITALS

The parties acknowledge that the University's departments and programs have a responsibility and right to evaluate students for proper course level placement. They further acknowledge that students may be required by departmental academic standards to complete coursework that may not count toward their major degree requirements. Students who must enroll for credit hours greater than that indicated by a normal program-of-study schedule may be more at-risk to fail classes, fall further behind, or withdraw from the University. The parties desire to help increase the likelihood that students enrolled in such courses remain at the University and complete their degrees.

Accordingly, this MOU memorializes the understanding of the parties regarding the University's and Foundation's acceptance of donations from the Faculty Senate, and others, to be used for the establishment of a scholarship fund for admitted first-time, full-time students who are required to take course work that may not count as credit toward their major degree. Acceptance of such donations is subject to the provisions of this MOU, the law as it exists now or may hereafter be amended (including applicable Internal Revenue Code sections), and University policy as it exists now or may hereafter be amended.

Specifically, the Foundation will establish and account for gifts to the scholarship, which will be processed through the Foundation and transferred to UAH for award as scholarships as

follows:

1. All contributions made in support of the scholarship fund must be made out to the University or Foundation and evidence the donor's or contributor's intent that the donation be designated for such fund.
2. All contributions made in support of the scholarship fund must be given to University Advancement or the Foundation for deposit and appropriate classification of gifts.
3. The Foundation will keep an accounting of all gifts contributed for the establishment of the scholarship fund.
4. It is anticipated that members of the Faculty Senate and faculty members in the colleges will provide periodic contributions to this scholarship fund. No minimum amount is required to establish this scholarship, and annual distributions will be based on the judgment and discretion of the Scholarship Committee, below. If at such time as the scholarship funds meet or exceed the amount required under University policies to establish an endowed scholarship, the parties may enter into an endowed fund gift agreement.
5. The Faculty Senate and its donors understand and agree that such gifts shall be gifts to the University, who will have full authority and discretion over all amounts contributed and who will accept gifts indicating the intent to fund the subject scholarship only with the understanding that such designation will not restrict or limit the University's full ownership rights in the donated funds.
6. The scholarship and account shall be terminated if and when the account balance remains at or below the amount of \$2000 for a period of 5 years, at which time all remaining funds shall be disbursed to student(s) pursuant to this agreement and the account closed.
7. UAH Advancement and Financial Aid will identify this scholarship in their listings, along with other scholarship opportunities, and faculty should recommend that students consider this scholarship. The scholarship will be accessible through the giving button on the main UAH Advancement website page. The President and the Vice President for Advancement and their staff will mention this scholarship opportunity, along with other scholarship opportunities, to civic groups and other individuals and groups who are interested in giving to student scholarships.
8. Students will apply for the scholarship. Faculty may send UAH Advancement and Financial Aid names of students to potentially contact about the opportunity.
9. Scholarship recipients shall be selected by the duly constituted University Scholarship Committee, with recommendations from a faculty selection committee, to be set up as a University committee and to include at least one member of the Faculty Senate, for the purpose of reviewing applicants and selecting qualified recipients. The amount of available funding for the scholarship will be communicated to the selection committee, who may either make a full award, a partial award, or wait until funds for a full or partial award become available.

10. Scholarship recipients shall be students who enter the University as first-time, full-time freshmen (not as transfer students), and who are required to take coursework that is requisite for but may not count toward their major degrees.

11. Eligible students shall maintain a grade point average of 3.2 on a 4.0 scale, or greater, and have no grades in any UAH course below a "B."

12. The scholarship fund will pay the tuition for scholarship recipients for up to three courses that are required for the major, to be taken in the summer semester for the purpose of catching up to a normal program-of-study schedule. A scholarship recipient could take three courses in one summer, two courses one summer and one course another summer, or a student could take less than three courses.

13. The parties recognize that the Faculty Senate is part of UAH and not a separate and distinct legal entity and that nothing in this MOU should be construed to indicate otherwise. The parties are executing this MOU as an indication that they intend to endeavor in good faith to support Faculty Senate Resolution 17/18-01.

14. The parties also acknowledge that, in the event that at some future time, due to a change in circumstances and in the sole judgment of the University, the achievement of the purpose(s) for which this fund is established is no longer possible or practical, or a limitation, restriction, or criteria made applicable herein to the use of the fund becomes obsolete, inappropriate, inadvisable, contrary to law or University policy, or not reasonably susceptible of being carried out, the University may use the fund for a purpose or purposes deemed by it to be consistent with the original intent of the Faculty Senate and that serves the educational mission of the University.

15. The parties acknowledge that this MOU and the scholarship are subject to the rules, policies, procedures, and practices of the University (including those of the Board of Trustees and UAH), and any revisions thereto, and shall be governed by the laws of the State of Alabama.

[SIGNATURES ON FOLLOWING PAGE]

IN WITNESS WHEREOF, the parties hereto have executed this Memorandum of Understanding on the dates indicated below.

**THE BOARD OF TRUSTEES OF THE
UNIVERSITY OF ALABAMA
for and on behalf of THE UNIVERSITY
OF ALABAMA IN HUNTSVILLE**

By: _____
Robert A. Altenkirch, President

Date: _____

By: _____
Christine W. Curtis, Provost and
Executive Vice President for
Academic Affairs

Date: _____

**THE UNIVERSITY OF ALABAMA
HUNTSVILLE FOUNDATION**

By: _____
S. Dagnal Rowe, Chairman

Date: _____

FACULTY SENATE MEETING

October 21, 2021

12:50 P.M.

Chan Auditorium

- ***Present: Tobias Mendelson, Anthony D'Costa, Jose Betancourt, Angela Balla, Andrei Gandila, Deborah Heikes, Kristin Weger, Christina Steidl, Mike Banish, Rui Ma, Maria Pour, Emil Jovanov, Fat Ho, Gang Wang, Susan Alexander, Elizabeth Barnby, Donna Guerra, Miranda Smith, Jerome Baudry, Jeff Weimer, Harry Delugach, Vineetha Menon, Sivaguru Ravindran, Themis Chronis, Andrea Word, Sarah Dyess, Michael Crow, Ron Schwertfeger, Carmen Scholz, Joey Taylor, Carolyn Sanders, Tim Newman, Lori Lioce***
- ***Absent with Proxy: Sophia Marinova, Azita Amiri***
- ***Absent without Proxy: Dilcu Barnes, Laird Burns, Kwaku Gyasi, Bryan Mesmer, Sarma Rani, Chang-Kwon Kang, Amy Hunter, Anna Aultman, Leiqiu Hu, Larry Carrey, Gang Li***
- **Faculty Senate President Carmen Scholz called the meeting to order at 12:52 pm.**
- **Meeting Review:**
 - ***Bill 462 discussion opened and stalled on question concerning percentage of clinical faculty allowed in College of Nursing (section 7.2.1.2.2)***
- **Motion to approve FS minutes. Tobias Mendelson moves. Jerome Baudry seconds.**
 - Carmen – I made a couple of changes where things weren't captured. We have over 2,000 classrooms. That is not correct.
 - Bob- We have over 2,000 classes.
 - Member – I sent an email to clarify attendance. I should be marked as absent with proxy, Donna Guerra.
 - Member – Same for Andrei Gandila.
 - Beth – Azita Amiri was here.
 - Miranda – I was here with proxy.
 - Carmen – All I favor. Ayes carry.
- **Accept FSEC report from October 14.**
 - Carmen – I have a few corrections.
 - Tim – On first page, change my name to your name on called to order. I move to accept as amended. Jeff seconds.
- **Administrative Reports**
 - President Darren Dawson
 - I didn't do a written report for the FSEC meeting, because the facilities report hasn't changed much.
 - One thing that we want to talk about today is there has been a lot of talk about the clinic. The clinics were under extreme pressure during COVID. They began operating as one clinic during spring 2020. In August, Louise went back to the

nursing college as an Associate Dean. If you talked with Amber and Connie, it was pretty stressful during that time. Provost Lindquist and I talked about the operations of the clinic. We are putting together a committee of faculty and staff to discuss operations and finances. This will start in the spring. We will eventually move the clinic to the CTC. We want some recommendations on how we should operate it and support it financially. We are hoping by this next summer we will back to normal.

- Carmen – What are the ideas that are bouncing around about reorganizing the clinic?
- President – The ideas are how we should operate it? Together or separate. That would include the financials as well. It is extremely underfunded. We have discussed bringing in a third party to operate it.
- Susan - I would like to make comments on how you move forward. I have been a patient to the clinic and worked within the clinic. Regarding the comment about revenue, it was never meant to be revenue generated. It is a tremendous resource for faculty and staff. There have been people using the clinic for ten years. As a person who has worked in the clinic, practicing care for student health and employee health is very different. I am skeptical of thinking it should go under Student Services.
- President – We aren't trying to make it revenue generating. We just want it to be able to cover its cost. We would like for it to go back to CTC instead of Wilson Hall.
- Mike – I want to say something about recovering the cost. In the case of the faculty and staff clinic, the true value is that we don't have another expense in a copay.
- President – We aren't trying to break even or cover cost.
- Bob – It is a benefit from HR. You don't want to leave money on the table. We should look at recovering cost. That in return helps provide better service. The objective here is because of COVID we were operating under the same thing. We want to see if it is worthwhile to split or keep together.
- President - The committee can give recommendations once they see the financials.
- Bob – It was put under Student Affairs in August.
- Beth – There are a lot of experts within the College of Nursing. They use software already that helps recoup cost. I hope you consider putting some of those on the committee.
- Carmen – One issue is the cost issue. It should be considered a benefit to those who work here. The other is the trust of who is overseeing the clinic. If it moves to Student Affairs, what does faculty care have to do with Student Affairs? Do we have assurance that no move will be performed within the next couple of weeks?
- President – Amber is running the clinic as one (both Faculty and Student clinics—she was running only the Student Clinic previously). It isn't put under Student Affairs yet. Todd will put together a budget part for them to look at. If the committee feels strongly that it shouldn't be, it will be heard. If you feel we should keep it separate and agree how it should be funded, we can split it.

- Carmen – No decision is made until the committee comes together?
- Bob – The decision is that Amber is the director of both. That has been made.
- President – That has been made because Louise went back to the College of Nursing. We believe that we will be able to make decisions come summer when COVID will hopefully have died down.
- Carmen – The decision will be made by the summer of next year?
- President – Yes, because we hope to be done with COVID and it gives a semester for the committee.
- Carmen – In the FSEC meeting, Tim pointed out income the university has from investments. We were taken aback from that. There seems to be money available. I would like for you to reconsider Christmas/End of the Year bonuses.
- President – Todd can look at that. We have to look at a plan for bonuses. The issue isn't clear if that has been done before. Present your questions a couple of days before so he can prepare to answer those.
- Interim Provost Robert Lindquist
 - I made the mistake of not inviting Dr. Jon Hakkila here today. We do have a new Associate Provost for International Services, Academic Integrity, and Dean of the Graduate School.
 - Faculty hiring has been approved. Almost have been signed. The 28 or 29 tenure track faculty will be sought after and hired.
 - The Provost search is underway. The committee has met for the first time. The ads will go out soon. You will receive an email for soliciting candidates. We have a wealth of knowledge here. If you know others that would be a good fit here, encourage them to apply. The target is July 2022. It is very important to know that if you know someone on the committee, they have signed a confidentiality report. They cannot mention anything in regards to this search.
 - Last time we were here a comment was made about retention reports. They were put on a Google Drive for the FSEC members to access.
 - Ron – I have a question and not sure if it is for the President or Provost. When I looked at the notes from the FSEC minutes, I noticed a comment that it was hard to police masking. I acknowledge and understand that. It is a small step to protect the campus. It was pointed out that if someone takes away a measure it is hard to reinstate that. Our percentage of vaccinated students have not changed. If we aren't even at 50% of vaccinated students, are we doing anything to increase this with considering stopping masking?
 - President – For the classrooms/labs, we still have mask requirements. The only area that the mask would drop off is the dining halls and fitness center. We ran this by the Communicable Disease Committee and 9 out of 12 agreed to do this hybrid approach. No decision has been made for January.
 - Angela – In terms of academic areas, is that where the issues are? This policy would mandate mask in the hallways? The virus doesn't stop at the classroom door. The only place mask would not be required is the cafeteria and fitness center?

- President – No, I am saying the classrooms and labs there wouldn't be a mask requirement.
- Angela – They walk through that area breathing that air. Scientific evidence proves that.
- President – If you go to the dining area, you will see that this would be the best to phase out.
- Member – The CDC even states that mask should be used even with vaccinated. Why is UAH wanting to go against the CDC recommendation?
- President – You can email the task force. UA is dropping mask. If you have a question, you can email us to ask the task force.
- Andrea – What is the timeframe to publish the decision?
- President – If we decide to go this route, it will be next week for November 1st.
- Bob – The reason that happens is because the UA System will remove any requirement on October 28th. The mask mandate is gone at that point. There is no intention of extending it. Then it is up to us to decide how to proceed at UAH. It could be even more difficult to enforce if the system drops the mandate. The faculty member controls the classroom.
- Mike – Bob, you fail to mention this week, Tuesday morning, we passed a bill. We have a few minor concerns. I think you deserve credit for allotting those nine positions for engineering. I want to compliment you for taking that stand.
- Bob – Most of it has the work done in the departments. I just work to continue it.
- Sarah – If there is going to be an announcement in a week that UAH will not require mask except in the classroom and labs, is it impossible to extend that to academic spaces? There is a clear line as to when they should have it on. I am an instructor and it is my responsibility for their safety. If there isn't a policy, I struggle to enforce. There are students with concerns and faculty still double masking. We could still wait until after the holiday season. We could see hospital data at that point. That would be my recommendation.
- President – You are saying is when you are in an academic building you have to wear a mask.
- Member – I second that. It encompasses movement through hallways, faculty offices. It makes a lot more sense.
- Joey – When is the task force meeting? I think another concern is they will go home for Thanksgiving and come back.
- Bob – It is different than last year. Our numbers are a lot lower than last year at this time. We are about ten students per week with cases.
- President – We can bring that up again. Eventually we are going to have to do what we are talking about. We can't wear mask for an eternity. We want to get rid of them. If we have to turn it back on, we will. If there is an upsurge during Christmas, we will turn some protocols back on. Everyone is used to it and we know how to do it. There are people ready to get back to normal. People have had a while to make a decision to vaccinate. If they haven't, they made the choice.

- Member – It isn't just because of unvaccinated. I go back to the email stating that the UA System would be the safest in America. So now we are going against guidelines. The virus doesn't stop at a doorway.
- Sarah – I think it would be a lot easier to leave a policy in place for masking. I would like to avoid angry and maintain a policy that everyone is okay with.
- Jeff – I would like to return to something that came up last FS meeting. It is in regard to the withdrawal policy. There is a serious concern. There is a picture of how you think it should operate, the picture of how it is operating, and the issue with faculty of how different those are. We are concerned that in January students will not be withdrawn that should have been. Then by the time it should be fixed, we will be told to let it go.
- Interim Provost – There is not a single case of that happening. The system is working. If you get a grade and it isn't passing, the advisor is made aware. You have to give me an example for me to track this.
- Jeff – What I think would be helpful, come January you would report the number of students that withdrew late. When a new policy is implemented, there should be assessments that the change did work. I think that would help us assure that both sides are doing the right thing.
- Interim Provost – We had a lot of interesting changes. The withdraw date is the only thing that changed. A different issue is co-requisite. Rhonda looked into this and couldn't find one case where there was an issue.
- Jeff – We look forward to the report in January.
- Member – From the university level is there a second layer being looked at? For example, the limit of withdrawals.
- Interim Provost – They have been doing that now. You are right there is a limitation on how many times you can take it and fail.
- Member – There will be a limitation?
- Interim Provost – That is really a program requirement.

➤ **Officer/Committee Reports**

- Carmen Scholz, President
 - Last month I was told that there were issues with understanding me. I am sorry, I do have an accent. Please let me know right away if you don't understand what I am saying. One item of concern is what is happening in Georgia in regards to tenure. From the announcement of turning tenure into a continuing reappointment, it took nine days for implementation. That is a concern of shared governance and tenure.
 - I had indicated that I am the representative for UAH at the Federal Demonstration Partnership they meet every three months. I gave a summary in the summer. Some changes have been made, please notify your faculty if those funding agencies are relevant for your faculty. Those going after NIH funding, they have childcare support now. And, their biosketch goes to five pages. If you applied to NSF, they changed the biosketch to three pages. They do not have childcare support but life balance supplements. The Department of Education will have a CARES Act extension. I reported on foreign influences and told you in the summer there was a discrepancy between consulting obligations (Non-disclosure agreements and disclosing demands by federal funding agencies). The funding agencies removed the requirement as long as your consultant working is approved under your university.

They have no idea on how to deal with journal editors. As for the CV's the Federal Demonstration Partnership is on a common electronic place to store this so you don't have to regenerate multiple CV's for multiple funding agencies.

- Joey and I met with the President and Provost. The dual email verification is a growing concern. You have received a notification that you have to set up dual verification. I did complain about this. The other issue I brought forward is the university requires me to have a cell phone to do my employer's work.
 - We talked about the withdrawal mechanism. We talked about Legacy students that have been here for a long time. We talked about diversity and hiring of faculty/staff. We discussed how we can improve on spousal hires. Often we hire someone, but they leave us because of the issue of the spouses' employment. The university provided employment opportunities for the spouses of the last three deans who got hired, but the same courtesy is not extended to faculty.
 - We have been presented with an edited Title IX Policy. Please direct comments to the Personnel Committee and Faculty Development Committee.
 - Themis Chronis had put forward interesting ideas and student comments on recruitment. Faculty have been removed from any recruitment efforts. Themis will meet with the lady that is in charge of undergraduate recruitment.
 - Jerome – What do you mean we aren't involved?
 - Carmen – Recruitment of undergrad.
- Joey Taylor, President-Elect
 - A few quick notes from the BOT meeting. UA and UAH have had four years of no increases. UA and UAB are above average, UAH is right at average. As far as other raises at UA and UAB. UA had a budget surplus of \$55M. Their raise pool was \$12.7 million (2.5%). They increased GTA stipends through additional of around \$600k. UAB opened by stating they focus on taking care of their ~~own~~ people. They had a positive bottom line last year of \$14 million and their merit raise pool was \$25 million. The UA system conferred 43% of total degrees in Alabama, including 42% of undergraduate degrees. We did receive one new bill for this senate, 468. This has to do with obligations for Deans to meet with faculty in regard to department chair evaluation.
 - Tim Newman, Past President
 - We passed senate resolution one in regards to raises and received a response. I started thinking about the baseline for comparison. It should be from the last time we received a raise (2019). I looked at the financial statement from January. If you look at tuition and fees it increased by \$1.7M a year ago. The state appropriations increased \$4M. We should use 2019 as a baseline. This is recurring money that came into UAH. We have that on top of the \$400K from this year. Each million would find a 1% raise. There should be enough for a 5-6% raise. I wanted to update you on what I presented to the administration. There is money for a raise.
 - Harry – I assume they enthusiastically embraced this?
 - Carolyn – What Tim laid out was very impressive. There wasn't much said by the administration. President Dawson did state that this should be presented to Todd Barre. Is it possible to invite him to address this?
 - Carmen – I think it would be better addressed in the budget committee. I would like to see what the response would be from them and reported back to us. It was quiet in the FSEC meeting after the presentation. We were

shocked to see the monies that are available. There is money floating around and apparently hidden.

- Joey – The system financial portfolio allowed them to be gleeful as to where we are (nearing \$6 billion in total assets and with better than expected investment gains so far this year).
 - Member – There are many factors. The amounts of money coming from different sources. Another thing to consider is the allocation of the money. We need to look at the input and output that determines these decisions. There is more to look at. Rather than the availability to the faculty, Frank Franz put together a budget down to the \$100's for the faculty. There is no reason as to why the faculty can't have access to these documents.
 - Carmen – Your point is very well taken. We did ask for that information. They offered to train us to read certain statements. There is always a go around rather than showing us the data. My opinion is with our reserve being spent down from \$60M to negative. Todd Barre wants to build that reserve back before he lets another penny go. That seems to be governing any decision being made.
 - Member – There were large sums of money in lines that no one really understood. You're questioning what decisions they should make about allocations of funds. How much input should the faculty have? I think the position would be that we have significant input in that process. You will need to a few people that are willing to take time out of their schedule to work through the information. There was a time 25 years ago when it was pretty routine.
 - Jeff – I support your sentiment on the Todd Barre. My sense from the budget meeting is to ask politely that was driven by the BOT's themselves.
- Mike Banish, Parliamentarian
 - No report.
 - Carolyn Sanders, Ombudsperson
 - No report.
 - Ron Schwertfeger, Governance and Operations Committee Spokesperson
 - We are working on the replacement of senators. We have two committee elections that need to be completed. I will pass out ballots.
 - Christina Steidl, Undergraduate Curriculum Committee Chair
 - No report. We will meet briefly after.
 - Laird Burns, Finance and Resources Committee Chair
 - No report.
 - Beth Barnby, Faculty and Student Development Committee Chair
 - No report. I will be emailing the committee.
 - Andrea Word, Personnel Committee Chair
 - We will bring forth a Bill 457 before the FSEC next meeting. We will look at the Title IX Policy.
- University Committee Reports
- Mike Banish, Financial/Scholarship Committee
 - We met and there is a new scholarship matrix. It wasn't presented for a vote. It was presented without discussion. It tracks what everyone else is doing.
 - Andrea – Can we see the matrix?

- Mike – Yes, I will get a copy.
- Carmen – You may want to share that with Laird.

➤ Bill 462

- Carmen – This bill has been before the senate and passed second reading in July. It came back up in August and did not pass. It is an incredibly long document. Do I have a motion to consider? Mike moves. Carolyn seconds.
 - Lori – We would like that it leave College of Nursing as ~~has~~ an exception.
 - Andrea – Is it under tenure or clinical? It is under 7.2.1.2.2.
 - Lori – There it used to say “with the exception of College of Nursing.” (regarding stipulation that clinical faculty shall not constitute more than half of total faculty)
 - Carmen – Second for motion? Donna seconds.
 - Mike – I call for secret vote.
 - Lori – We want to discuss this first before vote.
 - Tim – It is my understanding that the current catalog has no exception. Frank Franz came and always compared us to the University of Indiana. We were always compared to. I looked at their policies. In fact, no unit can have more than 40% clinical faculty. Perdue also has something on that. Generally, no more than 15% on the West Lafayette campus may consist of clinical faculty. I bring this forward that there are many other universities that have targets for tenure versus non tenured. We need to move toward that here at UAH.
 - Mike – Andrea took over for me in Personnel Committee. The thought here is to bring us in line with other institutions. The second thought is what is a continuing problem is exceptions for XYZ. It is always allowing exceptions. The faculty handbook should reach all and not have exemptions. We do have a college on campus that is granting degrees with no tenure track faculty. This isn’t the final document. The President, Board, and Chancellor’s Office will weigh in on this document.
 - Andrea – I don’t know where it belongs. Where was Indiana’s information posted? It was posted on their webpage. I was curious about how much bite this has. The long term is to protect TT lines. Medicine and nursing is going to be different wherever it is. I think medical is different.
 - Member – The importance of having faculty and nontenure faculty. I think it should be considered what nursing colleges are doing. We need to present a united front instead of all these exceptions.
 - Lori – We would ask that we wouldn’t have an arbitrary percentage. The original handbook doesn’t have the exception. The Chapter 7 we passed in July had it in it, but this version has it removed. We request it be put back or sent back to committee. We want the same things as every college but that percentage will not work for us.
 - Carmen- Would the 50% put you in the position to hire more?
 - Lori – No. They are not going to put in 12 hour shifts in the hospital.
 - Donna – I am agreeing with Lori. We are different. Medical and nursing are different.
 - Suzanne – I am not disagreeing with my colleague. Our PhD program is growing rapidly and requires tenured faculty. I would like to say that the language is a target and may could be changed. There is some value in this chapter to negotiate later.
 - Jeff – The idea is to make an exception for nursing. The College of Nursing should come forward with statistics.

- Lori – We just asked you to leave it in until you come up with statistics.
- Carmen – We are out of quorum and it will be tabled.
- Andrea – I am deferring.
- Beth - I am deferring until next meeting.
- Carmen – Motion to adjourn.
- Meeting adjourned at 2:27 PM.

Faculty Senate Bill 462: Faculty Handbook Chapter 7 (Apr. 2021 Rev.)

History: Received Mar. 23, 2021.

At FSEC, Mar. 25, 2021. Meeting postponed. Back before FSEC on April 1, 2021. Deferred.

Before FSEC on April 22, 2021. Adjourned before addressed.

Before FSEC on April 23, 2021. Adjourned.

Before FSEC on April 26, 2021. Passed First Reading.

At Senate on April 29, 2021. Adjourned before Second Reading could be addressed.

Passed Second Reading at Senate on July 8, 2021.

Before Senate on Aug. 19, 2021 for Third Reading

Whereas the UAH Faculty Senate previously passed and submitted Chapter 7 of the Faculty Handbook to the UAH Provost and President,

Whereas the UAH Provost and President ask for a re-review of Chapter 7,

Whereas the Faculty Senate Personnel Committee re-reviewed and edited Chapter 7,

Now, therefore, be it resolved that the attached Chapter 7 of the Faculty Handbook be passed.

Be It Further Resolved:

That upon final Senate approval and notice from the Administration of its concurring approval of this resolution, that the Chapter 7 text that follows be adopted as the new Chapter 7 of the UAH Faculty Handbook, and

Be It Also Resolved:

That the Senate officers shall update the Faculty Senate web page with the revised Chapter 7 that follows, provided both final Senate approval and Administration notice of concurring approval of this resolution have been received.

CHAPTER 7 (Apr. 2021 Rev.)

7. FACULTY PERSONNEL POLICIES & PROCEDURES

7.1. 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. 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 one's employment or academic status constitute 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. While the University has a legal requirement to abide by Federal and State Statutes, as educators for the next generation, we are also responsible for providing examples of non-discriminatory behavior and the ability to thrive utilizing such behavior.

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.

7.2. 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 7.2.1 in accordance with the appointment policies 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.

7.2.1.Categories of Faculty Appointment

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

7.2.1.1.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. 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 7.6.2 and 7.10). 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.

7.2.1.2.Non-tenure-earning Faculty

Non-tenure-earning 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 5 sub-categories of non-tenure track faculty: (1) research faculty, (2) clinical faculty, (3) library faculty, (4) lecturers, and (5) fixed-term appointment faculty. Non-tenure-earning faculty members are ineligible to serve as department chairs or associate chairs. Non-tenure-earning 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.

7.2.1.2.1. 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.

7.2.1.2.2. 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. clinical faculty, of all ranks, shall not constitute more than half of a department's faculty; or a college's faculty in the case of a college without departments or divisions.

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7.2.1.2.3. Librarians

Librarian appointments are non-tenure-track faculty appointments and are given either a (1) one-year appointment, or (2) an appointment that may continue for a stated period of time up to three years, renewable annually within that period, contingent on the faculty members satisfactory performance, the availability of funds, and the instructional needs of the department. There is no limit to the number of times that a Librarian can be reappointed. Librarian's 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 Librarians are, in ascending order: Librarian I, Librarian II, Librarian III, Librarian IV.

7.2.1.2.4. Lecturers

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. 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. Lecturer ranks are Lecturers, Senior Lecturers, Distinguished Lecturer. Lecturers, of all ranks, shall not constitute more than half of a department's faculty; or a college's faculty in the case of a college without departments or divisions.

7.2.1.2.5. 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 *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.

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.

7.2.2.2.6. 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 7.2.1.2.7 to teach a course or carry out a project on a demand basis.

7.2.1.2.7. 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.

7.2.2. 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.

7.2.2.1.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.)

7.2.2.2.Non-tenure-earning Faculty

7.2.2.2.1.Research Faculty, Clinical Faculty, Librarians, Lecturers, and Fixed-Term Appointment

Research faculty appointments, clinical faculty appointments, librarian 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, Librarian, 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.

7.2. .3.Special Titles

7.2.3.1.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.

7.2.3.2.Emeritus Faculty

A tenured faculty member, research faculty member, Librarian 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 title.

7.2.4.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.

7.2.5.Academic and Calendar Years

7.2.5.1.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.

7.2.5.2.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.

7.2.6. 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 Director is the equivalent of the Dean and the Assistant to the Director of the Library is the equivalent to the Department Chair.

7.3. Types of Contracts

7.3.1. Tenure-Track Faculty Contracts

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

7.3.1.1. 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 7.3.1.4. 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.

7.3.1.2. 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 7.9.2. 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 appointment, 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 7.14.2.

7.3.1.3.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 non-reappointment, (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.

7.3.1.4.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. These extenuating circumstances include, 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 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 affected 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 7.6.2.1.

7.3.1.5.Terminal Contracts

A tenure-track faculty member who has been reviewed for reappointment and who has been given a notice of non-reappointment 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.

7.3.2.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. UAH 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 7.6.2 and 7.11, respectively.

7.4 Faculty Search, Appointment, and Orientation Procedures

UAH 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.

7.4.1. 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).

7.4.1.1. 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.

7.4.1.2. Appointment and Composition of the Search Committee

Once such approval is obtained, the Department Chair is responsible for appointing a faculty search committee consisting of 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 committee chair will be a member of the hiring department. 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. The search committee will regularly report to the Department Chair or Dean's representative in Colleges without Departments.

7.4.1.3. 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 activities 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 UAH.

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, although in special cases four, finalists to recommend to the Dean through the Department Chair. 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, or four, 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.

7.4.1.4.Campus Interview of Finalists

The Provost's office shall provide funds to bring up to four 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 prospective colleagues in the tenure-home and secondary departments;
- d) An opportunity to meet students, either at the seminar or at another appropriate occasion;

- 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.

7.4.1.5. 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 the 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.

7.4.2. Recruiting, Selection, and Appointment of non-tenure earning Faculty:

7.4.2.1. Clinical, Research Faculty, Librarians, and Lecturers

Each unit employing clinical, library, lecturers, 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 UAH's Faculty and Staff web page.

7.4.2.2. 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.

7.4.3.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.

7.5.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 Librarians 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. The workload of lecturers is normally concentrated in the area of teaching, with some service commitment.

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. In addition, teaching loads should be reduced if the faculty is the President or President-elect of a national research, scientific, educational, or professional organization with more than 500 paying members, or if the faculty member is the Conference Chair for a national-regional-state research, scientific, educational, or professional organization with more than 250 paying members expected to attend; such an activity should be commensurate with the time necessary for the course release.

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.

7.6.Criteria for Evaluating Faculty

7.6.1.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 Librarian, 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.

7.6.1.1.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.

7.6.1.2.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.

7.6.1.3. 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.

7.6.1.4. 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.

7.6.2. 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.

7.6.2.1. 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 7.3.1.1 or as extended under Section 7.2.1.4. Such candidates for tenure must demonstrate exceptionally meritorious achievement in scholarly and/or creative activities in addition to meeting the criteria specified in Section 7.6.2.

7.6.2.2.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

7.6.3 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).

7.6.2.3.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 7.6.2 and must meet the criteria articulated in Section 7.6.3 for appointment to their appointed rank.

7.6.3.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.

7.6.3.1.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.

7.6.3.2.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.

7.6.3.3.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 creative 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.

7.6.3.4.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.

7.6.4.Specific Criteria by Rank: Clinical, Research, Librarians, and Lecturers

7.6.4.1 Specific Criteria by Rank: Clinical and Research Faculty

The responsibilities of clinical faculty and the responsibilities of research faculty vary significantly across colleges and departments. Clinical, and Research 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, Librarian, and Lecturer 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 and research faculty members for appointment, performance reviews, promotion, and salary increases. Each college and department employing clinical and research, faculty are 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 and research faculty, shall be placed on file with the Provost's office and the appropriate Dean's office.

7.6.4.1.1.Clinical 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. A clinical or 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. Appointment at this rank is reserved for individuals who are candidates for the terminal degree within a pertinent discipline. The appointment is with the expectation that subsequent appointment to clinical assistant professor will be made upon the university's receipt of certification that the faculty member has completed all requirements for the terminal degree.

7.6.4.1.2.Clinical and Research Assistant Professors

A clinical assistant professor must meet all the criteria for clinical 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). Clinical and research, 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.

7.6.4.1.3.Clinical and Research 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. 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, or the research 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.

7.6.4.1.4.Clinical and Research 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 clinical or research, 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.

7.6.4.2 Specific Criteria by Rank: Librarians

Librarian appointments are non-tenure-track faculty appointments. Non-tenure-track faculty are given either (1) a one-year appointment, or (2) an appointment that may continue for a stated period of time up to three years, renewable annually for one year within that period, contingent upon the faculty member's satisfactory performance, the availability of funds, and the instructional needs of the department.

Effective library service is characterized by (1) teaching and public service that embodies the constructs set for all University faculty (organization and preparation, engagement, delivery, fairness, and accessibility); (2) engagement with departmental faculty in the development of the library's collections and services. This includes, but is not limited to, monitoring a department's use of its library allocation, informing faculty of new publications and resources in the field, development of research guides and finding aids in the field, and promoting library use among the faculty; (3) identifying and implementing innovative information technologies that improve library services; and (4) effective management of the operational unit, including effective supervision of staff, responsible use of library resources, participation in library planning, and project management.

The four ranks of faculty librarianship are, in ascending order: Librarian I, II, III, IV.

Librarian I: Appointment to this rank requires a master's degree from a library school accredited by the American Library Association or a master's degree relevant to the

individual's subject specialty. A library lecturer demonstrates potential to carry out instructional, scholarly, and creative duties required to perform the informational needs of the position and shows evidence of professional growth in the field.

Librarian II: Appointment or promotion to the rank of assistant librarian includes all of the requirements of library lecturer. In addition, appointment/promotion to this rank requires a minimum of four years of relevant professional library experience. The following additional criteria apply to the position of assistant librarian. An assistant librarian demonstrates ability to handle information needs as assigned by specific job duties in accordance with ACRL defined guidelines (instructional, scholarly, creative, assessment, technical, and service duties) and shows evidence of scholarly activity, which may include but is not limited to publications in library or discipline-specific journals, presentations and exhibits at the local and regional level, development of programs and operating procedures for pertinent departments, participation in continuing education efforts, etc. An assistant librarian also demonstrates service to the library or university by serving on committees and by membership in professional library or library-related associations.

Librarian III: Appointment or promotion to the rank of associate librarian normally requires at least eight years of relevant professional library experience. Appointment/promotion to this rank also normally requires a minimum of four years full-time appointment at the assistant librarian rank in addition to meeting the following criteria. A candidate for the position of associate librarian demonstrates outstanding performance of primary job responsibilities in accordance with ACRL defined guidelines and demonstrates leadership and planning skills for library and/or university projects. An associate librarian shows evidence of scholarly activity that may include but is not limited to publications in library journals or discipline-specific journals; presentations at the local or state level, development of exhibits, and participation in or leading continuing education efforts; working collaboratively with university faculty to develop subject-specific library-related curricular content; etc. In addition, an associate librarian demonstrates service to the library and the university by serving in a leadership capacity on library or university committees and by participating in professional library or library-related associations.

Librarian IV: Appointment or promotion to the rank of librarian requires demonstration of nationally-recognized excellence in the library field, normally involving a minimum of twelve years relevant professional experience. Appointment/promotion to this rank also normally requires a minimum of four years full-time appointment at the associate librarian rank in addition to meeting the following criteria. A candidate for the position of librarian demonstrates overall superior performance in primary job responsibilities in accordance with Association of College and Research Libraries (ACRL) defined

guidelines and demonstrates leadership in creative problem-solving and strategic planning skills in the management of library resources. In the position of librarian, the individual meets or exceeds a high level of understanding of the library's mission and the relationship of the library to the mission of the university. A librarian is recognized nationally as a proven scholar with a record of publications, presentations, exhibits and other scholarly activities and is an outstanding educator. The individual further demonstrates service to the library and to the university by serving in a leadership capacity on university committees and by participating in professional library or library-related associations, assuming leadership responsibilities in these associations.

7.6.4.3 Specific Criteria by Rank: Lecturer Faculty

Lecturer is an appointment for full-time, non-tenure-earning faculty who are appointed to serve instructional needs in academic departments. The lecturer series is primarily a "teaching ladder" and is comparable to teaching ladders at other universities.

Lecturers must have completed at least 18 graduate semester hours in the teaching discipline and hold at least a master's degree, or hold the minimum of a master's degree with a major in the discipline in which the lecturer teaches. Any exceptions to these criteria must be justified, documented, and approved by the Provost.

A Lecturer's initial appointment is usually for one year. An appointment may, however, be for one semester or for a stated period of up to five years. renewable contingent upon satisfactory performance, the availability of funding, and the continuing instructional needs of the department. After an initial one-year appointment, reappointments are to be for two, three, and five years. Lecturers are evaluated by the normal faculty review process.

The teaching load for lecturers is normally 24 semester hours in the academic year, with additional expectations for service in student advising, participation in departmental programs concerned with student activities and instructional matters, and other responsibilities as assigned by the chair of the department. Teaching requirements may be adjusted for involvement in important projects or special activities of value to the department and the college. Lecturers may participate in departmental processes concerning curricula and learning objectives and outcomes, except for those concerning appointments, reappointments, promotion, and tenure of tenure-track faculty members. Lecturers do not participate in committees or meetings associated with fiscal, and academic personnel matters including but not limited to hiring and tenure and promotion.

Lecturer: To be eligible for appointment at the rank of Lecturer, an individual must have completed at least 18 graduate semester hours in the teaching discipline and hold at least a master's degree, or hold the minimum of a master's degree with a major in the discipline in which the lecturer teaches, terminal degrees in relevant disciplines are encouraged. The primary responsibilities of an individual appointed as a Lecturer are

instruction; student learning and retention with an emphasis on student success; and curriculum development. Other contributions such as scholarly and/or creative activities or publications; grantsmanship; consistent and conspicuous involvement in institutional and professional service; and professional development activities are expected and required for promotion. Other duties may be assigned. After six years of service a lecturer may be promoted to Senior Lecturer. However, consideration must be given to reappointing the individual as a clinic assistant professor. The Department Chair-Dean-Provost must supply written justification as to why promotion to Senior Lecturer was chosen over reappointment to Clinical Assistant Professor.

Senior Lecturer: Promotion to the rank of Senior Lecturer is intended to recognize efforts and performance that combine instructional effectiveness with additional significant contributions to the mission of the university. These contributions may include instructional and curriculum development; dedication to student learning, retention, and success; scholarly and/or creative activities or publications; grantsmanship; consistent and conspicuous involvement in institutional and professional service; professional development activities; and continuing education. An individual promoted to the rank of Senior Lecturer must have held a regular, full-time appointment as a Lecturer at The University of Alabama in Huntsville or in a similar position at another baccalaureate degree granting institution for a minimum of six, preferably consecutive, years. The Senior Lecturer's appointment will be for three to five years based on performance, availability of funding and the educational needs of the unit. As established long-time members of a department or college, Senior Lecturers will have a reduced teaching load that will be dedicated to service within the department, college, University, or external educational activities.

Distinguished Lecturer: Promotion to the rank of Distinguished Lecturer is intended to recognize high quality efforts and performance that combine excellent instructional effectiveness with additional significant contributions to the mission of the university. These contributions may include high level performance in instructional and curriculum development; dedication to student learning, retention, and success; scholarly and/or creative activities or publications; grantsmanship; consistent and conspicuous involvement in institutional and professional service; professional development activities; and continuing education. An individual promoted to the rank of Distinguished Lecturer must have held a regular, full-time appointment as a Senior Lecturer at The University of Alabama in Huntsville or in a similar position at another baccalaureate degree granting institution for a minimum of five, preferably consecutive, years. The Distinguished Lecturer's appointment will be for five to seven years based on performance, availability of funding, and the educational needs of the unit. As established long-time members of a department or college, Distinguished Lecturers will have a reduced teaching load that will be dedicated to service within the department, college, University, or external educational activities.

7.7.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*.

7.7.1.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 consensus 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.

7.8.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.

7.8.1.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 7.8.1 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 7.11.15. 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 7.11.8, 7.11.11, and 7.11.15.

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 7.2.1. The faculty member may supply any additional evidence that appears appropriate to the evaluation.

Insert Figure 7.8.1 here.

7.8.1.1.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 Librarians, 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.

7.8.1.2.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 Librarians, (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.

7.8.1.3.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.

7.8.1.3.1.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 Librarians 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 7.8.1.5).

(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 UAH*. This subsection should include courses taught for UAH 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 publications, 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 Librarians 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 Librarians 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.

7.8.1.3.2.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.").

7.8.1.4.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 7.9.1.
- (2) Copies of all reports and recommendations for prior reappointment reviews conducted in accordance with Sections 7.9.1 through 7.9.6 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.

7.8.1.5.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.

7.8.1.6.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.

7.8.1.7.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.

7.8.1.8.Clinical and Professional Practice Folder

This folder is required only for clinical and Librarians 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.

7.8.1.9.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.

7.8.1.10. Letters Folder

This folder shall apply only to faculty members under review for promotion and/or tenure and shall include two subfolders. The first subfolder shall include external peer review letters solicited in accordance with Section 7.11.3. The second subfolder shall include other letters of support solicited in accordance with Section 7.11.4.1. 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.

7.8.1.11. 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.

7.9. 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 7.9.2 for tenure-track faculty, Section 7.9.3 for research faculty, Section

7.9.4 for clinical and Librarians and for lecturers, and Section 7.9.6 for adjunct faculty. Reappointment is based on the current need of the university.

7.9.1. Annual Performance Evaluation Procedure

The Department Chair or equivalent is responsible for conducting annual performance evaluations for all tenured, clinical, and Librarians, 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 7.9.2.

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.

7.9.1.1.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.

7.9.1.2.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 7.7.1. 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 7.8.1.4, 7.8.1.9, and 7.8.1.10.

(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.

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.

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

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.

7.9.2.Reappointment of Tenure-Track Faculty

7.9.2.1.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 7.9.2.2. 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 Probationary Period of Six or More Years

Appointment & Reappointment Contract Durations	Year in Faculty Member's Probationary Period	Scheduled Reappointment Reviews by Year in Probationary Period	Action/Status if Not Reappointed by Year in Probationary Period
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. See Section 7.2.1.2.	1 st full year	none	Not applicable
	2 nd full year	<i>First reappointment review.</i> 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 4 th & 5 th academic years in the faculty member's probationary period in accordance with the procedure described in Section 7.8.2.2.	Not applicable
	3 rd 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 4 th and 5 th full academic years in the faculty member's probationary period.	4 th full year	<i>Second reappointment review.</i> 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 6 th & 7 th academic years in accordance with the procedure described in Section 7.8.2.2.	Not applicable
	5 th 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 member shall be for two academic years, the 6 th and 7 th full academic years in the faculty member's probationary period.	6 th full year	None (tenure review year)	Not applicable
	7 th full year	none	Terminal year if not tenured

7.9.2.2.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 7.9.1.

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.

7.9.3.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 7.9.1). 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.

7.9.4.Reappointment Procedure for Clinical Faculty, Librarians and Lecturers

The term of appointment for clinical faculty, Librarians and for lecturers is specified in the letter of appointment. Such faculty appointments are for one to five 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 7.8.1 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 Librarians shall develop a proposal for a similar process for appointing a Reappointment Review Committee for Librarians 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).

7.9.5.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 7.4.2.2.

7.9.6.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.

7.10.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.

7.10.1. 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.

7.10.1.1. 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 7.3.1.1 or by an extension of the probationary period in accordance with Section 7.3.1.4.

7.10.1.2. Early tenure review

A tenure-track faculty member may be considered for early tenure as defined in Section 7.6.2.1 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 7.6.2.1, 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.

7.10.1.3. 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 7.11.1.1 or with Section 7.11.1.2, 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.

7.10.1.4.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.

7.10.2.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.

7.10.2.1.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 7.11.2.2 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 7.11.2.2). If the votes are not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, respectively.

7.10.2.2.Recommendations and Decision

7.10.2.2.1.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.

7.10.2.2.2.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.

7.10.2.2.3.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.

7.10.2.2.4.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.

7.10.2.2.5.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.

7.10.2.2.6.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.

7.10.3.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.

7.10.3.1.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.

7.10.3.2.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.

7.10.3.3.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.

7.10.4.Other Supporting Documentation

7.10.4.1.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.

7.10.4.2.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.

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

7.10.5.1.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 7.11.5.2. 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.

7.10.5.2.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 7.11.5.1 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.

7.10.5.3. 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 7.11.5.1.

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.

7.10.5.4. 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 7.11.5.1 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.

7.10.6. 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 7.11.4.2. 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 7.11.2. 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.

7.10.7. 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 7.11.2. 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.

7.10.8. 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 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)

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 7.6 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 7.11.2. 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.

7.10.10.Review by the Dean

The Dean shall conduct an independent review of the candidate, and shall prepare a report in accordance with Section 7.11.2. 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.

7.10.11.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.Review by the University Review Board

7.10.12.1.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 nor vote on that candidate.

7.10.12.2.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.

7.10.13.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 7.11.2. In conducting the review of each candidate, the Provost shall evaluate all information submitted in the candidate's comprehensive file, including all previous report, and may utilize professional assessments from appropriate faculty and academic administrators.

7.10.14.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.

7.10.15.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.

7.11.Promotion Procedures for Research, Clinical, Librarians and Lecturers

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."

7.11.1.Initiation of the Promotion Review

Research or clinical faculty members who are affiliated with an academic department and Librarians and Lecturers 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.

7.11.2.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 Librarians 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 Librarians shall be incorporated into the Faculty Handbook.

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

7.11.3.Recommendations and Reports

7.11.3.1.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.

7.11.3.2.Reports

At each level of review below the Provost, the reviewing person or body shall prepare a recommendation in accordance with Section 7.12.3.1 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.

7.11.4.External Peer Review

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

7.11.4.1.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.

7.11.4.2.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 7.7.1. 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.

7.11.4.3.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, Librarians and lecturers , 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 7.12.4.2. 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.

7.11.4.4.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 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 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.

7.11.4.5.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.

7.11.5.Eligibility to Serve on and Selection of Promotion Committees

7.11.5.1.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 Librarians 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 7.11.5.1.

7.11.5.2.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 7.11.5.1 and 7.11.5.2.

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.

7.11.6.Review by the Departmental or Faculty Committee

The review by the Departmental or Faculty Committee shall follow the procedure specified in Section 7.11.6.

7.11.7.Review by the Department Chair (or Equivalent).

The review by the Department Chair (or equivalent) shall follow the procedure specified in Section 7.11.7.

7.11.8.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.

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

The review by the PTAC shall follow the procedure specified in Section 7.11.9.

7.11.10.Review by the Dean

The review by the Dean shall follow the procedure specified in Section 7.11.10.

7.11.11. 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.

7.11.12. University Review Board

The review by the University Review Board shall follow the procedure specified in Section 7.11.12.

7.11.13. Review by the Provost

The review by the Provost shall follow the procedure specified in Section 7.11.13.

7.11.14. Notification to the Candidate

The Provost shall notify the candidate in accordance with Section 7.11.14.

7.11.15. Promotion Appeals

Any candidate who is not granted promotion has the right to appeal that decision in accordance with Section 7.11.15.

7.12. Summary of Deadline Dates for Tenure and Promotion

Table 7.12 Matrix of Actions by Date and Responsible Party								
Date	Action	Responsible 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 --	Deadline for Department Chair to solicit nominations of individuals to serve as external peer		X					

Table 7.12 Matrix of Actions by Date and Responsible Party								
Date	Action	Responsible Party						
		Candi-date	Dept. Chair	Dept. Commit-tee	PTA C	Dea n	URB	Pro-vost
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								
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. 5	Deadline for PTAC to submit its report to the Dean.				X			
Dec. 5	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. 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.							

7.13.Voluntary Separations

7.13.1.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. UAH 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).

7.13.2.Retirement

Faculty members who are eligible to receive retirement benefits under the State Teachers' Retirement System of Alabama (TRSA) should contact the UAH 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 UAH Department of Human Resources and at the TRSA websites, (<http://www.uah.edu/admin/HR/benefits/retireeinfo.php>, www.rsa-al.gov).

7.14. Disciplinary Policies and Procedures

7.14.1. 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.

7.14.2. 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.

7.14.2.1. 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:

- 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.

- Dismissal of the case. Such a recommendation is appropriate in the absence of a "reasonable basis" conclusion, as stated above.

- (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.

7.14.2.2.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.

7.14.2.3.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.

7.14.2.4. 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.

7.14.3. Sanctions Other Than Dismissal

7.14.3.1. 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 7.13.2 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.

7.14.3.2. 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.

7.15.Faculty Rights and Responsibilities

7.15.1.Equal Employment Opportunity, Nondiscrimination and Affirmative Action Policies

7.15.1.1.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 7.1 using the procedures set forth in the University's Discrimination Grievance Procedure (http://www.uah.edu/legal/uah_policy_pdfs/Discrimination%20Grievance%20Procedures.pdf).

7.15.1.2.Faculty Responsibilities

All faculty members have a responsibility to adhere to the University's Equal Employment Opportunity, Nondiscrimination, and Affirmative Action Policy (Section 7.1) 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 Opportunity, Nondiscrimination, and Affirmative Action Policy (Section 7.1) will be implemented in accordance with policies and procedures governing the discipline or dismissal of a faculty member for cause in Section 7.14.

7.15.2.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.

7.15.2.1.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)

7.15.2.2.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)

7.15.2.3.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)

7.15.2.4. 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.

7.15.3. Professional Ethics

The University adopts the following excerpt from the "Statement on Professional Ethics" from the *AAUP 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.*

7.15.4.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.

7.15.5.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.

7.15.5.1.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.

7.15.5.2. 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.

7.15.5.3. 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.

7.15.5.4.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.

7.15.5.5. 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.

7.15.5.6. Tutoring

No faculty member is permitted to tutor any UAH 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.

7.15.5.7. 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.

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

7.15.6. 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.

Faculty Senate Bill Number MMM

Obligations for Deans to Meet with Faculty in Review Processes Involving Department Chairs

Whereas a Department Chair represents the voices of the faculty in the department in discussions with the administration, and

Whereas the Dean is the first level of contact in such discussions, and

Whereas the Dean also initiates the hiring or reappointment of a Department Chair, and

Whereas faculty may have significant, serious, or mitigating concerns about sentiments conveyed during meetings between a Department Chair and a Dean or about reports to be given to a Dean regarding a Department Chair, and

Whereas faculty may want to resolve their concerns by holding an in-person meeting between the faculty or a committee of faculty with the Dean, and

Whereas the Faculty Handbook puts little if any stated obligations on Deans to honor any requests from faculty or faculty committees to meet in person to resolve concerns about verbal or written reports about a Department Chair, and

Whereas the absence of any obligation to meet with faculty from a Department affords the Deans the luxury to fully excuse and simply ignore any such requests, and

Whereas excusing and ignoring such requests directly undercuts the spirit if not the integrity that should be held by the administration to demonstrate their willingness to engage openly, fairly, and honestly in shared governance with the faculty, and

Whereas evidence exists where Deans have ignored and even blatantly rebuffed written requests from faculty to hold a meeting to discuss concerns about a Department Chair.

Be it therefore resolved that

Changes are to be made in the Faculty Handbook as defined in the next section to establish obligations for Deans to meet with faculty on written request about matters concerning a Department Chair, and that

The changes are to become immediately enforceable upon acceptance of this Bill independently of whether the Faculty Handbook may still be undergoing an overall revision.

Requested Changes

Additions are highlighted in bold.

Appendix B: The External Search Process

Part c

Current Statements: ... Upon completion of interviews and the selection process, the chair of the search committee submits to the dean a summary of the evaluations on each person interviewed. The dean confers with the provost and extends a letter of offer to a candidate that the search committee deems acceptable.

Revision: ... Upon completion of interviews and the selection process, the chair of the search committee submits to the dean a summary of the evaluations on each person interviewed. **If also requested in writing by a majority of the search committee at the time the evaluation is submitted, the dean meets in person with the search committee to review the evaluations. The summary of evaluations on each person is amended as needed to reflect the concurrence of discussions from the meeting.** The dean subsequently confers with the provost and extends a letter of offer to a candidate that the search committee deems acceptable.

Appendix B: The Internal Search Process

Part c

Current Statements: ... Upon completion of interviews and the selection process, the chair of the search committee submits to the dean a summary of the evaluations on each person interviewed. If the dean is satisfied with the candidate(s) recommended by the department, he or she makes the appointment with the concurrence of the provost.

Revision: ... Upon completion of interviews and the selection process, the chair of the search committee submits to the dean a summary of the evaluations on each person interviewed. **If also requested in writing by a majority of the search committee at the time the evaluation is**

submitted, the dean meets in person with the search committee to review the evaluations. **The summary of evaluations on each person is amended as needed to reflect the concurrence of discussions from the meeting.** If the dean is satisfied with the candidate(s) recommended by the department, he or she makes the appointment with the concurrence of the provost.

Appendix B: Review and Evaluation of a Department Chair

Part c

Current Statements: ... Normally no later than one month following the completion of the review the dean will report to the department faculty concerning the general results of the evaluation. Personnel actions growing out of the evaluation must have the concurrence of the provost.

Revision: ... Normally no later than one month following the completion of the review, the dean will report to the department faculty concerning the general results of the evaluation. **The written report will present a consensus garnered from all submitted evaluations as well as any specific recommendations for further actions that should arise from the evaluations. If requested in writing by a majority of the faculty within a week after the written report is presented, the dean meets in person with the faculty to review the report. The written report is amended as needed to reflect the concurrence of discussions from the meeting.** Personnel actions growing out of the evaluation must have the concurrence of the provost.

Appendix B: Reassignment of a Department Chair

Current Statements: ... In so far as possible, this review will follow the procedures set forth in the section on the “Review and Evaluation of a Department Chair”. Based on the results of this early review, a dean may remove a chair with the concurrence of a majority of the eligible departmental faculty and the provost.

Revision: ... In so far as possible, this review will follow the procedures set forth in the section on the “Review and Evaluation of a Department Chair”. **The dean is in this case however obligated to meet in person with the eligible departmental faculty at the outset of the early review process to inform them of the process and at time the written report is completed to discuss the results from the report.** Based on the results of this early review, a dean may remove a chair with the concurrence of a majority of the eligible departmental faculty and the provost.

**Independence of Faculty Senators from Administrative Influences
to Speak or Vote at Faculty Senate Meetings**

Whereas the Faculty Senate represents faculty in shared governance of the University with the administration, and

Whereas effective shared governance demands open engagement to resolve disparate views on topics of importance to the University, and

Whereas open engagement unequivocally means that members of the Faculty Senate must be able to speak their minds and vote according to sentiments from the Department that they represent, and

Whereas open engagement can demand that the members of the Faculty Senate be able to speak vibrantly against policies or bills that may be perceived to run counter a preferred view of the administration without any intimidation or fear of recriminations from the administration, and

Whereas actions by any administrator at the University to engage with a member of the Faculty Senate in discussions that can be in any way be perceived as trying to influence or block that member from full, open engagement within the Faculty Senate directly violates the above principles, and

Whereas recent reports have been provided that suggest if not show convincingly that administrative officials in Departments and Colleges engaged with members of the Faculty Senate in ways that can be perceived as if not established to be attempts to block, influence, or alter how the members would speak or vote on resolutions or bills brought before the body of the Faculty Senate,

Be it therefore resolved that

The Faculty Senate requests that the administration must always refrain from and pro-actively police themselves against undertaking any actions that can be perceived as directly or indirectly attempting to influence in any way how any Faculty Senator will speak or vote during a meeting of the Faculty Senate.

Faculty Senate Bill No. ~~4XX~~466

Fiscal Analysis of UAH Program Documents Submitted to UA-System Chancellor

Whereas the Administration of Robert Altenkirch reported to the UAH faculty that the adding of sport teams would lead to increased financial income and stability at UAH, and

Whereas the Administration of Robert Altenkirch reported to the UAH faculty that the creation of additional Colleges would lead to increased financial income and stability at UAH, and

Whereas the Administration of Robert Altenkirch reported to the UAH faculty that the retirement of faculty and the assignment of those positions would lead to growth in critical areas resulting in increased financial income and stability at UAH, and

Whereas the Administration of Robert Altenkirch reported to the UAH faculty that the goal of 10,000 student would lead to faculty expansion and increased financial stability at UAH, and

Whereas the addition of sport teams, the addition of colleges, the retirement incentives, and enrollment of 10,000 students was analyzed and approved using data supplied by UAH to the UA-System Chancellor and then furthered to the Board of Trustees, and

Whereas, none of the above additions were presented to the UAH faculty for analysis prior to implementation, and

Whereas UAH faculty salaries are well below the Southeast Public University Salary average, and

Whereas, UAH has received several tens of millions of dollars of Federal and State CARES funding this campus, and

Whereas the faculty and staff at UA and UAB are projected to have salary increases up to 3% this year, and

Whereas, for the 2021-2022 Academic Year UAH faculty and staff are unlikely to receive raises because of funding short falls, and

Whereas, the number of classes with 20-50 students, an important metric for US News and World report rankings, continues to be a smaller percentage of classes at UAH,

Therefore, be it resolved that the UAH Faculty Senate will request the fiscal analysis presented to the Office of the Chancellor and the Board of Trustees by the UAH Administration, for the addition of sport teams, formation of new colleges, retirement incentives for faculty and investment in new areas, and the scholarship matrix,

Be it further resolved that the UAH Faculty Senate President request the fiscal analysis of by the Chancellors office for the addition of sport teams, formation of new colleges, retirement incentives for faculty and investment in new areas, and the scholarship matrix at UAH,

Be it further resolved that the UAH Faculty Senate President request the Chancellors office request the suspension of “bonus payments” to UAH administrators until UAH faculty salaries are comparable with UA and UAB faculty, and with the Southeast average,

Be it further resolved that the UAH Faculty Senate President request the Chancellors Office and Board of Trustee’s to determine if previous “bonus payments” were made based on accurate data and analysis.

Ballot 1

Yes

No

Ballot 2

Yes

No

Ballot 3

Yes

No

Ballot 4

Yes

No

Ballot 5

Yes

No

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

**BLOODBORNE PATHOGEN CONTROL PLAN
INTERIM**

Number 07.07.05

Division Office of Environmental Health and Safety

Date 09/01/2013 – Reviewed May 2021

Purpose Using the OSHA Bloodborne Pathogens Standard, 29 CFR 1910.1030 as a guide, UAH has developed an Exposure Control Plan, otherwise known as the UAH Bloodborne Pathogen Control Plan, to eliminate or minimize occupational exposure to bloodborne pathogens.

Policy It is the policy of UAH that the most recent revision of the UAH Bloodborne Pathogen Control Plan must be followed by all members of the UAH community including staff, faculty, and students at all times.

Review The Office of Environmental Health and Safety (OEHS) is responsible for the review of this policy every five (5) years (or whenever circumstances require).