

# FACULTY SENATE

## MEETING #621 AGENDA CHAN Auditorium THURSDAY, October 21, 2021 12:50 PM to 2:20 PM

### Call to Order

1. Approve Faculty Senate Meeting #620 Minutes from September 23, 2021
2. Accept FSEC Report from October 14, 2021
3. Guest Dr. Jon Hakkila, Associate Provost for International Services, Academic Integrity, and Dean of the Graduate School at UAH
4. Administrative Reports
5. Officer and Committee Reports

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

### 7. Business

- Bill 462
- Policy 07.07.05
- Bill 464
- Bill 466
- Bill 467
- Bill 469

### 8. 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](mailto:facsen@uah.edu)

**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 CHAPTER 7 (Apr. 2021  
Rev.)

## 7.2 Definitions

# 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 Status

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

#### 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 (<http://www.ua.edu/board/Combined%20Board%20Manual.pdf>). Tenure may be granted at the time of the faculty member's initial appointment to the faculty or following a probationary period in a tenure-track faculty position (See Sections 7.56.2 and 7.910). 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-Track Faculty

Non-tenure-trackNon-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 45 sub-categories of non-tenure track faculty: (1) research faculty, (2) clinical faculty, (3) library faculty, and (4) fixed-term appointmentlecturers, and (5) fixed-term appointment faculty. Non-tenure-trackNon-tenure-earning faculty members are ineligible to serve as department chairs or associate chairs. Non-tenure-trackNon-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 ~~Faculty~~: Selection and Appointment

#### 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 are awarded to members of the faculty whose major responsibilities are in clinical teaching, clinical practice, and clinical scholarship. ~~These ranks are awarded to members of the faculty who are not on a college's faculty in the case of a college without departments or divisions.~~

#### 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 years for which clinical appointments may be held-times that a Librarian can be reappointed. ~~However, contract renewal/reappointment is always based on curricular, enrollment, and financial factors as well as on the individual faculty evaluation.~~

#### 7.2.1.2.4. Lecturers

~~Lecturer is a term appointment for full-time, nontenure-earning faculty who are appointed~~ appointments are designed to serve special instructional needs in academic departments. Lecturers are eligible for selected university benefits and are included in considerations for merit salary increases.

#### 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 year but may be for longer or shorter periods-years as detailed in a letter of appointment. (Notice of nonreappointment may be provided at any time prior to the end of the specified term). Fixed-term faculty are appointments have the title of visiting professor. Fixed-term faculty members may be eligible for selected university benefits and benefits in accordance with Chapter 9. They are expected to participate in the academic programs of the unit.

~~in the department and makes a recommendation to the dean on continuing~~

~~appoint to an appointment. Letters of appointment are normally for one to three years and begin on the first day of the academic year of the appointment.~~ may carry the titles of visiting instructor, visiting assistant professor, visiting associate ~~professor~~ 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~~ 7.1.2.2.4-6. *Adjunct and Part-Time Faculty*

Adjunct faculty members have recognized professional ~~qualifications and are assigned the rank of adjunct assistant professor, adjunct associate professor, or adjunct professor. The title is intended for individuals whose responsibilities include more than teaching or serving on graduate advisory committees and who have a continuing association with a department in some academic or professional capacity.~~ qualifications. Their duties, responsibilities, and responsibilities ranks may vary between departments and colleges, ~~but they~~ and are specified specified in the letter of appointment. Letters of appointment for adjunct faculty also ~~define~~ define the length of the ~~appointment that~~ appointment, which may be for one to three years, with the initial appointment usually for one year. ~~Adjunct~~ Adjunct faculty are not compensated except when they also are ~~engaged~~ appointed as ~~part-time faculty teaching a course on a demand basis. These~~ a temporary faculty ~~do not earn tenure nor may they participate~~ member in matters relating to personnel decisions in the department.

#### 7.2.1.2.7 *Temporary Faculty*

Temporary faculty members are appointed to ~~teach or 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 committees~~ a committee, or work on a project. Appointment is on the basis of demand in the academic departments. ~~Their~~ department making the appointment. The task, associated responsibilities, and compensation are ~~defined~~ 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 teaching credit courses at the undergraduate level must have completed at least 18 graduate appointments normally are for a specified period of time, such as a semester hours in the discipline in 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.



#### 7.42.2.1. 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 they teach and hold at least a master's degree, or hold the minimum of a master's degree with a major in the discipline,~~ 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.)

#### 7.42.2.2. ~~Non~~tenure-Track ~~Non~~tenure-earning Faculty

##### 7.42.2.2.1. ~~Research Faculty, Clinical Faculty, Librariansy Faculty, Lecturers, and Fixed-Term Appointment~~

Research faculty appointments, clinical faculty appointments, ~~library faculty~~librarian appointments, and lecturer appointments are normally full-time, but may be part-time. The full-time or part-time status of these criteria must be justified and documented. The submission of official transcripts is a condition of part-time faculty employment. ~~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~~

it fulfills the criteria. Faculty do not continue, nor may they participate in matters relating to personnel decisions in the department. Full-time lecturers shall be eligible for merit salary increases.

## **7.2.21.3.Special Titles**

### **7.42.3.1.Faculty Holding Prestigious and Named Professorships**

Board of Trustees Rule ~~370~~508 permits the establishment of special academic chairs and the ~~appointment~~appointment of prestigious and named professorships. All named professorships and academic chairs are established by Board action. Appointments to ~~fill~~fill these professorships are made by the Board of Trustees after recommendation by the ~~prevest~~Provost, the ~~president~~President, and the ~~chancellor~~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~~classifications of prestigious professorships. See Appendix C.

### **7.42.3.2.4-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 ~~will~~shall be awarded emeritus status at his or her professorial rank upon retirement. ~~Other faculty members who retire~~The faculty member's Dean shall initiate the process for awarding the Emeritus ~~Professor title.~~

### **7.42.4.Joint Appointments**

A tenured, tenure-track, clinical, or research faculty member may also have a joint appointment with more than one department or unit. For a tenure-track faculty member, one department shall ~~be considered for emeritus status (Section 7.10.1).~~

### **7.42.5.Academic and Calendar Years**

#### **7.42.5.1.Academic Year**

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

#### **7.3.42.5.2.Calendar Year**

A calendar year ~~appointment is for~~ defined as a period of twelve months ~~or for a term specified in the letter of offer.~~ 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.

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

#### 7.23. Types of Contracts

##### 7.23.1. Tenure-Earning Track Faculty Contracts

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

##### 7.23.1.1. 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 7.23.1.4. 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.

##### 7.23.1.2. Initial Appointment Contracts

Appointment as a tenure-earning track member of the faculty requires a recommendation by at least a majority of the tenured and tenure-earning 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 primary department. Official transcripts are required as a condition of employment 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 7.89.2. Otherwise, the initial appointment contract for tenure-track faculty members shall be for all faculty.

### 7.23.2-1.3. Reappointment Contracts

Reappointment contracts are ~~normally made for a period of one academic year offered in accordance with the schedule and procedures specified in Section 7.8.2~~ until a tenure-~~earning~~track faculty member is: (a) granted tenure, or (b) receives a notice of non-reappointment, ~~or~~ (c) is discharged for cause, ~~Reappointment, or~~ (d) ~~is based on the current need~~ terminated for failure to perform academic duties in accordance with generally accepted norms prior to the end of the ~~university~~.

### 7.3-23.1.4. Extensions ~~in~~ of the Probationary Period

The probationary period may be extended ~~a maximum of one additional year~~ in cases where the tenure-~~earning~~track faculty member's productivity is temporarily reduced because of extenuating circumstances. ~~These extenuating circumstances, include,ing but not limited to,~~ when the faculty member has experienced a serious or chronic illness or short-term disability, the birth of a child, ~~or the serious illness of a family member, or extensive e-involuntary time commitments to duty in the uniformed services.~~ The faculty member ~~submits~~shall submit a ~~request~~request for the extension, ~~stating,including a statement of~~ the reasons for the extension, to the ~~department chair~~Department Chair. Requests for extension must be acted upon by the ~~chair~~Chair, the ~~appropriate dean~~Dean, and the ~~provost~~.

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

A faculty member who has been granted an extension of the probationary period may choose to be evaluated for tenure during the last year of probationary period originally specified in his or her letter of appointment by giving notification to his or her department chair of this decision by May 1 in the year preceding the academic year in which the tenure review will occur; such a faculty member shall not be considered a candidate for "early tenure" and shall not have to meet the criteria for early tenure specified in Section 7.56.2.1.

### 7.23.1.5. 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.

### 7.23.2. Tenured Faculty Contracts

Once awarded, tenure ~~will~~shall be strictly observed in accordance with the guidelines in the AAUP Policy Documents and Reports (~~1999~~2006) and consistent with ~~official~~official University of Alabama ~~System guidelines.~~

*The ~~definition~~definition of tenure ~~to be used in each campus~~institutional policy should recognize that tenure is an ~~affirmative~~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~~fide financial~~ exigency of the ~~campus~~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~~fide financial exigency, ~~or of the institution or division in which tenure is held, or a~~ major curtailment or formal discontinuance of a program or ~~department~~department of instruction, ~~or;~~ (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, ~~nor will a faculty member be reduced in rank except for just cause.~~

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 7.56.2 and 7.101, respectively.

## 7.4 Faculty Search, Appointment, and Orientation Procedures

### 7.3.3.2 Tenure at Time of First Appointment

#### 7.43.1. Recruiting, Selection, and Appointment of Tenured and Tenure-Earning Track Faculty ~~Selection and~~

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).

#### 7.34.1.1.Approval to Recruit

Faculty appointment follows ~~the identification~~ 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. ~~Responsibility~~ Prior to initiating a search, the Department Chair must submit a written request and justification for identifying prospective hiring to the Dean and the Provost and must obtain their approval for the search and their authorization of funds for the position.

#### 7.34.1.2.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 ~~-. This committee shall include the Department Chair, at least two other faculty members~~ lies with the appropriate from the tenured and tenure-track faculty of the department, and one tenured or program tenure-track faculty member from outside the department. ~~The Department Chair may serve as chair (chairs, if of the committee or may appoint a tenured faculty member in the department and in the discipline in which the new faculty member is being recruited to serve as chair)~~ 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) and the faculty in the department. In a case in which no department has direct responsibility, the appropriate dean assumes the role of the, the committee also shall include the Chair and at least one other tenured faculty member from each secondary department chair. The; however, the Committee Chair and a majority of the members of the search committee must be from the tenure-home department chair is responsible for gathering of the prospective faculty member. The search committee will regularly report to the Department Chair or Dean's representative in Colleges without Departments.

#### 7.34.1.3.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 about the candidates. This 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 includes. 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: ~~(i) the following:~~ (1) a statement of the candidate's interest from the candidates, (ii) completed resumes, (iii), (2) a complete resume, (3) three professional written references, and (iv) a copy of recent written work. 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, ~~official~~ the candidate's official college transcripts also must be submitted to the ~~Dean~~ Dean of the college in which ~~an appointment is held.~~



~~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.

#### 7.34.1.4. Campus Interview of Finalists

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

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

~~scholarly and teaching competence.~~

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

spective colleagues~~.~~

- d) An opportunity to meet students, either at the seminar or at another appropriate ~~occasion.~~

sion:

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

#### 7.34.1.5. Selection and Offer of Appointment

After the campus interview visits by the candidates, the Department Chair of the tenure-home department chair again consults with for the departmental position shall gather feedback from faculty and other individuals who interacted with the candidate to obtain their reactions and comments. A departmental 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 is determined by majority vote of the tenured and tenure-earning faculty. The chair then submits 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 for appointment to the dean of the college. In the case of candidates who will have responsibilities in more than one department, a the Dean(s) shall prepare a letter of offer and submit it to the Provost for approval. If the letter of offer is for a joint appointment, it must specify which department will be the faculty member's tenure-home. The Department Chair in the tenure-home department is responsible for handling negotiations with the candidate pertaining to the specifics of the offer, subject to constraints set by the Provost and Dean(s).

In it event that the Dean or the Provost does not approve the candidate recommended by the department(s), they shall request the department to reconsider the pool of applicants and make an alternate recommendation is made by each of the affected chairs to the appropriate deans. Letters of offer in joint appointments must clearly designate one department or program as the primary unit. After these recommendations are made, they are reviewed by the dean who writes a letter of offer for approval by the provost. In the event actions are taken at any level contrary to the departmental recommendation or to extend the search. In such cases, the administrator responsible responsible for such a the decision must give the department chair Department Chair a written explanation for the decision.

#### 7.34.2. Recruiting, Selection, and Appointment of Nontenure-Earning Track non-tenure earning Faculty:

##### Selection and Appointment

Each unit employing clinical and 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 faculty to tenure earning positions. All 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 ~~prevest.~~

#### 7.434.2.2 ~~Full Time Temporary and .Fixed-Term Faculty~~

Each unit employing fixed-term appointment faculty shall develop recruiting, selection, and appointment procedures for ~~temporary nontenure earning or term~~ such faculty that are normally the same as similar to the procedures for the appointment of tenured and tenure-earning track faculty, except that a modified interview schedule may be but expedited by modifications appropriate ~~for short term~~ to the nature of such appointments.

### 7.34.3. New Faculty Orientation

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

### 7.5 45. Faculty Workload

It is recognized that the workload of a tenured or tenure-~~earning~~track faculty member normally ~~includes~~includes obligations in three areas of activity: teaching, ~~research~~scholarly and/or creative achievements, and service. The workload of clinical faculty is normally concentrated in the areas of clinical or professional teaching and ~~clinical~~practice. ~~Deans, The workload of Librarians is normally concentrated in consultation with department~~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. The work

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

The teaching responsibility for ~~research-active, full-time~~tenured or tenure-track faculty ~~is normally~~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, or 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, or educational organization, 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 24 12 semester hours per semester hours, or lower depending on the needs and mission of the department and the obligations of the faculty member. ~~Exceptions to the standard are recommended by the appropriate department chair and approved by the dean after discussion with the provost. Possible exceptions might include special assignments for the department, college, or university; supervision of professional projects, theses, or dissertations; and major time commitments to funded or unfunded research.~~

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~~ 5.6. Criteria for Evaluating ~~Tenure-Earning, Clinical and Tenured~~ Faculty

### ~~7.6~~ 5.6.1. General Criteria for ~~Tenure-Earning and Tenured~~ Faculty

Faculty members are evaluated on the basis of their effective performance or potential for ~~effective~~ effective performance in three areas of activity: (1) teaching, (2) ~~research-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, annual 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~~ 5.6.1.1. Effectiveness in Teaching

Faculty members are expected to perform effectively in all appropriate teaching settings and situations. Students, colleagues, and administrators should ~~have recognized the~~ recognize a faculty member's ~~diligence~~ 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~~ 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~~ 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~~ 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~~ 5.6.1.2. Effectiveness in ~~Research-Scholarly and~~ or Creative Achievements

The university encourages a broad spectrum of ~~research~~ scholarly and creative ~~activity~~ activities of the highest possible quality, ~~from~~ including basic ~~to~~ 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~~ 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 research-scholarly and creative ~~accomplishments~~ 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.

### 7.56.1.3. Effectiveness in Service

Evaluation of a faculty member's effectiveness in service is based ~~upon both internal~~ on service to the university, the profession or discipline, and external service activities. ~~Internal~~ 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. ~~Internal service activities include, including~~ but are not limited to the following: diligent service on departmental ~~departmental~~ , college, or university committees; membership in the Faculty Senate and its ~~committees~~ committees; advising student clubs and organizations; and administrative assignments. Applicable external service encompasses service to the profession and to the public for the benefit of the university. External Professional service activities include but are not limited to the following: ~~activities in learned and professional societies; unremunerated 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, or political, and health-care organizations; and service as an editor or referee for scholarly publications. Faculty.

### 7.56.1.4. Effectiveness in Clinical and Professional Practice

Clinical faculty members are also judged as to whether or not their collegial ~~relationships contribute to~~ 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 of and achievement.

### 7.56.2. Tenure Criteria

Tenure is granted only to those faculty members who show evidence of substantial achievements and promise of continuing contributions in the college and 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.

### 7.56.2.1. 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 7.23.1.1 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 7.56.2.



#### 7.56.2.2. 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

7.56.3 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).

7.56.2.3. 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 7.56.2 and must meet the criteria articulated in Section 7.56.3 for appointment to their appointed rank.

#### 7.56.3. Specific Criteria by Rank: Tenure-Earning 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.

##### 7.56.3.1. Instructor

Appointment at this rank is reserved for individuals who are candidates for the terminal degree within a pertinent discipline. The appointment is ~~normally~~ tenure-earning track with the expectation that ~~subsequent~~ subsequent appointment to assistant professor will be made upon the university's receipt of ~~certification~~ 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) ~~research~~ scholarly and/or creative achievements; and (3) service. Prior teaching experience is not essential.

##### 7.56.3.2. 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) ~~research~~ scholarly and/or creative achievements, and (3) service. Prior teaching experience is not essential.

##### 7.56.3.3. 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 ~~research/creative~~ scholarly and/or crea-tive achievements and high levels of effectiveness in other areas of activity on which faculty are evaluated: (1) teaching, (2) ~~research~~ scholarly and/or creative

| achievements, and (3) service, with a ~~balance~~balance consistent with the expectations of the discipline.

#### 7.6.256.3.4 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~~field of ~~research~~scholarly and/or ~~creative~~creative achievements and must have maintained high levels of effectiveness in teaching and in service.

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

##### 7.6.4.1 Specific Criteria by Rank: Clinical and Research Faculty

###### 7.56.4.1.1. Clinical and Library Instructors

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

###### 7.56.4.1.2. Clinical and Research, Research, and Library Assistant Professors

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

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#### 7.56.4.1.3.Clinical and ~~,-Research,-and Library~~ Associate Professors

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

#### 7.56.4.1.4.Clinical and ~~,-Research,-and Library~~ Professors

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

#### 7.6.4.2 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.

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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. Lectures 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.

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*.

#### **7.67.1.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.



## **7.78.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.

### **7.78.1.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 7.78.1 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 7.101.15. 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 7.101.8, 7.101.11, and 7.101.15.

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

Insert Figure 7.78.1 here.

#### 7.78.1.1.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.

#### 7.78.1.2.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.

#### 7.78.1.3.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.

##### 7.78.1.3.1.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

(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.

#### 7.78.1.3.2. 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.").

#### 7.78.1.4. Past Performance Evaluations Folder

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

for tenure-track faculty and for the preceding five years for other faculty, as identified in Section 7.89.1.

(2) Copies of all reports and recommendations for prior reappointment reviews conducted in accordance with Sections 7.89.1 through 7.89.6 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.

#### 7.78.1.5.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.

#### 7.78.1.6.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.

#### 7.78.1.7.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.

#### 7.78.1.8.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.

#### 7.78.1.9.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.

#### 7.78.1.10.Letters Folder

This folder shall apply only to faculty members under review for promotion and/or tenure and shall included two subfolders. The first subfolder shall include external peer review letters solicited in accordance with Section 7.101.3. The second subfolder shall include other letters of support solicited in accordance with Section 7.101.4.1. 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.

#### 7.78.1.11.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.

### 7.89.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 adjustmentadjustments, 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 performanceperformance 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 comprehensive review procedurereappointment procedures in Section 7.89.2-Reappointment for tenure-track faculty, Section 7.89.3 for research faculty, Section

7.89.4 for clinical and Librarians and for lecturers, and Section 7.89.6 for adjunct faculty. Re-appointment is based on the current need of the university.

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 7.89.2.



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.

#### 7.89.1.1.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.

#### 7.89.1.2.Schedule and Procedure

(a) The Department Chair or equivalent shall notify each faculty member by February 1 that the department chair during faculty member needs to prepare or update his or her Comprehensive Digital File. For tenure-track faculty, the spring semester. The faculty member will submit her/his file as directed by the Chair.

(a) The faculty member provides in a timely manner representative evidence to the chair regarding teaching, research or creative achievements, and service. The chair should invite written comments and suggestions review shall incorporate written feedback on the faculty member's member's teaching, research scholarly and/or creative achievements, and service from tenured members members of the department; procedures for incorporating such feedback shall be adopted by each college in accordance with Section 7.67.1. For research faculty members, the Chair or equivalent shall notify the Director of the department prior Center with which the research faculty member is affiliated to the performance evaluation meeting with the faculty member.

(b) The chair prepares 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 7.78.1.4, 7.78.1.9, and 7.78.1.10.

(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, research scholarly and/or creative accomplishments, and service. The chair's, 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 ~~may~~shall also incorporate any comments and suggestions of other tenured faculty members in the department.

In rating the performance of a department's faculty, the Chair shall not use any forced distribution

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

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 gives~~Chair shall give the written evaluation and the rating form to the faculty member prior to the annual performance review discussion.

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(c) The ~~chair meets~~Chair ~~meets~~with the faculty member by April 30 to discuss her performance and the evaluation by the chair, ~~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 gives~~Chair shall give the person being reviewed a full opportunity to discuss strengths and weaknesses, problems, and ways in which the ~~department chair~~Department Chair, or other colleagues, might be helpful in improving performance. ~~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.~~

~~(d)~~ 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 written~~Chair's evaluation. The ~~faculty~~faculty member ~~gives~~shall give any such written response to the ~~chair~~Chair within ~~one week~~three weeks after the performance review discussion.

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When an annual evaluation meeting is held, the chair meets with the department to discuss the evaluation and provides the chair. Chair shall provide the Dean with copies of the chair's statement and Annual Performance Evaluation for each

~~The chair's written evaluation and~~ 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 file.~~

~~If a chair's evaluation reveals significant concerns about the performance of a tenured faculty member, the chair's statement may include a recommendation that the dean convene a review committee of tenured faculty in the department to consider possible action. Following three consecutive years of performance concerns, the chair's recommendation must include a recommendation for a special review by tenured faculty in the department.~~

#### ~~7.8.2~~ Comprehensive Digital File.

#### 7.89.2 Reappointment Review Procedure: ~~of~~ Tenure-Earning Track Faculty

~~If the tenure-earning faculty member's contract is due to expire at the end of the academic year, a comprehensive performance evaluation will be conducted. Faculty in the first year of employment are evaluated according to section 7.8.2.1. Faculty who are not in the first year of employment are evaluated according to section 7.8.2.2.~~

##### ~~7.8.2.1 Reappointment Procedure for Tenure-Earning Faculty in the First Year of Employment.~~

~~The department chair notifies the faculty member of the upcoming comprehensive review by December 15 of the faculty member's initial year of appointment. At this time the department chair meets with the faculty member and discusses the comprehensive reappointment review process.~~

~~By January 15 of the academic year in which the review is conducted, the faculty member and the department chair prepare the faculty member's comprehensive file as described in Section 7.7.1.~~

~~After consultation with the dean, faculty member, and prospective committee members, the department chair appoints a review committee. The committee consists of at least two tenured faculty members from 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 appeals to the dean for a variance in the composition of the review committee.~~

~~The review committee assesses the qualifications of the candidate for reappointment. In its deliberations, it considers the contents of the faculty member's comprehensive file and renders a professional judgment on the candidate's strengths and weaknesses. The review committee prepares a detailed written report stating its recommendation for or against reappointment and the reasons for the recommendation. A minority report may be included. The committee report indicates how many favor reappointment and is signed by all committee members. Affirmative~~

~~recommendations for reappointment are normally for two academic years. Copies of the committee report are transmitted to the chair by February 1.~~

~~The chair prepares an independent recommendation report. The chair provides both the chair's recommendation report and the committee's recommendation report to the candidate and the dean by February 10. The dean reviews the reports with the provost and discusses possible actions by February 20. The dean notifies the faculty member in writing of the reappointment decision by March 1. The department chair meets with reappointed faculty to discuss concerns and to plan objectives for the next two years.~~

#### 7.89.2.1. 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 7.89.2.2. 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.

<b>Table. 7.8.2.1 Reappointment Schedule for Faculty Members with a Probable. 7.8.2.1 Reappointment Schedule for Faculty Members with a Probable. 7.8.2.1 Reappointment Schedule for Faculty Members with a Probationary Period of Six or More Probationary Period of Six or More Years</b>			
<b><u>Appointment &amp; Reappointment Contract Durations</u></b>	<b><u>Year in Faculty Member's Probationary Period</u></b>	<b><u>Scheduled Reappointment Reviews by Year in Probationary Period</u></b>	<b><u>Action/Status if Not Reappointed by Year in Probationary Period</u></b>
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 <sup>st</sup> full year	none	Not applicable
	2 <sup>nd</sup> 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 <sup>th</sup> & 5 <sup>th</sup> academic years in the faculty member's probationary period in accordance with the procedure described in Section 7.8.2.2.	Not applicable
	3 <sup>rd</sup> 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 <sup>th</sup> and 5 <sup>th</sup> full academic years in the faculty member's probationary period.	4 <sup>th</sup> 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 <sup>th</sup> & 7 <sup>th</sup> academic years in accordance with the procedure described in Section 7.8.2.2.	Not applicable
	5 <sup>th</sup> full year	none	If a tenure-track faculty member is not reappointed in the second reappointment review, the fifth full academic year in the faculty member's probationary period is his or her terminal year of employment as a tenure-track faculty member.
The second reappointment contract for a tenure-track faculty tract for a tenure-track faculty member shall be for two academic years, the 6 <sup>th</sup> and 7 <sup>th</sup> full academic years in the faculty member's probationary period.	6 <sup>th</sup> full year	None (tenure review year)	Not applicable
	7 <sup>th</sup> full year	none	Terminal year if not tenured

7.89.2.2. Reappointment Procedure for Tenure-Earning track Faculty After First Year of Employment.

The ~~department chair notifies~~ Department Chair shall notify the faculty member of the upcoming ~~comprehensive reappointment~~ review by December 15. At this time the ~~department chair meets~~ Department Chair shall meet with the faculty member and discusses the ~~comprehensive reappointment review process~~. By February 1 the faculty member and the ~~department chair~~ Department Chair shall update the faculty member's ~~comprehensive file~~ Comprehensive Digital File as described in Section 7.79.1.

After consultation with the ~~dean~~ Dean, the faculty member, and with prospective committee ~~members~~ members, the ~~department chair appoints~~ Department Chair shall appoint a ~~review committee~~ Reappointment Review Committee. The ~~committee consists~~ Committee shall consist of at least two tenured faculty members in the candidate's department, or ~~equivalent~~ equivalent, and at least one tenured faculty member from another department in the candidate's ~~college~~ 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~~ appeals Chair shall appeal to the ~~dean~~ Dean for a variance in the composition of the review committee.

The ~~review committee assesses~~ Reappointment Review Committee shall assess the ~~qualifications~~ qualifications of the candidate for ~~reappointment~~ reappointment. In its deliberations, it ~~considers~~ shall consider the contents of the faculty member's ~~comprehensive file~~ Comprehensive Digital File and ~~renders~~ render a professional judgment on the candidate's strengths and weaknesses. The ~~review committee prepares~~ Committee shall prepare a detailed written report stating its recommendation for or against reappointment and ~~the reasons for a written rationale including the positive and negative factors that influenced the recommendation. A minority report may be included. made by reviewer(s).~~ The ~~committee report indicates how many favor reappointment and is~~ Committee Report shall include a signature page that shall be signed by all committee members. Affirmative recommendations for reappointment in and reveal the first year evaluation are normally for two academic years then annually or until the end number of the reappointment candidate's probationary period (i.e., the year in which the candidate will be evaluated for tenure), whichever is shorter. Copies of the committee's votes for each recommendation and report(s). 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~~ Chair by March 1.

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

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

### **7.89.3. Reappointment Procedure for Research Faculty**

The probationary period for research faculty is from four to seven years, as ~~specified~~ specified in the ~~letter~~ letter of appointment and depending upon the ~~qualifications~~ qualifications and



experience of the individual. All research faculty appointments are for one year, ~~and probationary. Probationary~~ research faculty ~~members~~ are subject to annual review ~~prior to for reappointment or nonreappointment. non-reappointment~~. This review ~~follows~~ is conducted concurrently and following the same procedure as the annual performance evaluation ~~of tenure-earning faculty members ((Section 7.89.1). Research faculty members who are reappointed beyond~~ their stipulated probationary period are given an appointment that continues ~~indefinitely~~ indefinitely without the need for annual ~~review and appointment~~ reappointment reviews, until such time as support is not generated or notice of termination is ~~issued~~ issued by the appropriate university ~~official~~.

#### **7.89.4 ~~Evaluation and~~ Reappointment Procedure for Clinical Faculty, Librarians**

## and Lecturers

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

The ~~department chair notifies~~Department Chair or equivalent shall notify the faculty member of the upcoming review by ~~the following dates:~~

During the academic year in which the review is conducted, the faculty member and the ~~department chair~~Department Chair or equivalent shall prepare the faculty member's ~~comprehensive file~~Comprehensive Digital File as described in Section 7.78.1 by the ~~following dates:~~

After consultation with the ~~dean~~Dean, faculty member, and prospective committee members, the ~~department chair appoints a review committee. The committee consists~~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. ~~Committee 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 ~~considers~~shall consider the contents of the faculty member's ~~comprehensive file~~Comprehensive Digital File and ~~renders~~render a professional judgment on the candidate's strengths and weaknesses. The ~~review committee prepares~~Committee shall prepare a detailed written report stating its ~~recommendations~~recommendation for or against reappointment and a written rationale including the reasons for positive and negative recommendations. Minority votes shall include rationale. The committee 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~~Chair or equivalent by:

March 1: Faculty beyond the ~~first~~first year of employment

February ~~15~~15: Faculty in ~~first~~first year of employment.

The Chair or equivalent shall prepare an independent recommendation report. The ~~chair's recommendation takes~~Chair's report shall take into account not only the candidate's performance but also the curricular needs and ~~financial~~financial resources of the college. The

~~chair provides~~Chair shall give~~both the chair's~~Chair's~~and committee's report~~Committee's reports to the dean~~Dean~~ by.

April 1: Faculty beyond the ~~first~~first year of employment

February ~~10~~28: Faculty in the ~~first~~first year of employment.

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

May 1: Faculty beyond the ~~first~~first year of employment

March ~~1~~15: Faculty in the ~~first~~first year of employment.

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

#### ~~7.89.5~~ Reappointment Procedures for Full-Time Temporary and Term Faculty

Visiting and temporary and term faculty normally are the same as those for tenure-earning faculty not subject to reappointment processes. However, after serving a successful term of appointment, if demand in the academic department warrants appointment again in the first year of employment (future, they may be appointed again in accordance with appointment procedures in Section 7.834.2.1).

#### ~~7.89.6~~ Reappointment Procedure for Adjunct Faculty

Recommendations for reappointment of adjunct faculty are the responsibility of ~~a department or program reappointment committee~~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~~appointed by the ~~department chair~~Department Chair. The committee ~~writes~~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 ~~nonreappointment~~ non-reappointment are submitted by the ~~department or program chair~~Department Chair to the ~~dean~~Dean as soon as possible prior to the end of the candidate's current appointment. The ~~dean~~Dean, with the approval of the ~~provost~~Provost, issues a letter of reappointment or ~~nonreappointment~~.

As part of the reappointment committee's evaluation, the committee may, at its own discretion, review the rank of the individual ~~—a and recommend reappointment to a higher rank. A~~ complete written review of the criteria for this ~~action is~~ recommendation must be included as part of the overall reappointment recommendation.

#### ~~7.910~~ Promotion and Tenure Advisory Committee

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.

### 7.910.1. 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 ~~reminds them~~ shall notify all faculty of the May 15 deadline for promotion ~~nominations~~.

#### 7.910.1.1. Tenure review during the last year of candidate's probationary period

By May 15 ~~prior to year of review~~ 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 7.23.1.1 or by an extension of the probationary period in accordance with Section

#### 7.910.1.2. Early tenure review

A tenure-track faculty member may be considered for early tenure as defined in Section 7.56.2.1 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 7.56.2.1, in a year that is agreed upon by the candidate and the candidate's Department Chair or equivalent. ~~The immediate supervisor informs tenure candidates~~ 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. ~~All~~ A candidate for early tenure may withdraw from consideration at any point in the review process without prejudice to future tenure review.

#### 7.910.1.3. 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 7.101.1.1 or with Section 7.101.1.2, 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.

#### 7.910.1.4.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.

#### 7.910.2.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.

##### 7.910.2.1.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 7.101.2.2 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 7.101.2.2). If the votes are not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, respectively.

##### 7.910.2.2.Recommendations and Decision

###### 7.910.2.2.1.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.



#### 7.910.2.2.2.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.

#### 7.910.2.2.3.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.

#### 7.910.2.2.4.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.

#### 7.910.2.2.5.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.



#### 7.910.2.2.6.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.

#### **7.910.3.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.

##### 7.910.3.1.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.

#### 7.910.3.2.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.

#### 7.910.3.3.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.

#### 7.910.4.Other Supporting Documentation

##### 7.910.4.1.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.

#### 7.910.4.2.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.

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

##### 7.910.5.1.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 7.101.5.2. 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.

##### 7.910.5.2.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 7.101.5.1 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.

#### 7.910.5.3.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

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.

#### 7.910.5.4.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 7.101.5.1 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.

#### **7.910.6.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 7.101.4.2. 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 7.101.2. 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.

#### **7.910.7.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 7.101.2. 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.

#### **7.910.8.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.

#### **7.910.9.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 7.66 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 7.101.2. 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.

#### **7.910.10.Review by the Dean**

The Dean shall conduct an independent review of the candidate, and shall prepare a report in accordance with Section 7.101.2. 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.

#### **7.910.11.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.

#### **7.910.12.Review by the University Review Board**

##### **7.910.12.1.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.

##### **7.910.12.2.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.

#### **7.910.13.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 7.101.2. 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.

#### **7.910.14.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.

#### **7.910.15.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.

#### **7.101.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."

##### **7.101.1.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.

##### **7.101.2.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.

### **7.101.3.Recommendations and Reports**

#### **7.101.3.1.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.

#### **7.101.3.2.Reports**

At each level of review below the Provost, the reviewing person or body shall prepare a recommendation in accordance with Section 7.142.3.1 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.

### **7.101.4.External Peer Review**

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

#### **7.101.4.1.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.

#### 7.101.4.2.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 7.67.1. 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** for promotion are submitted to chairs and deans.

#### 7.101.4.3.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 7.142.4.2. 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.

#### 7.101.4.4.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.

#### 7.101.4.5.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.

#### **7.101.5.Elaboration to Serve on and Selection of Promotion Committees**

##### 7.101.5.1.Elaboration 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 7.101.5.1.

7.101.5.2.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

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.

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

The review by the Departmental or Faculty Committee shall follow the procedure specified in Section 7.101.6.

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

The review by the Department Chair (or equivalent) shall follow the procedure specified in Section 7.101.7.

**7.110.8.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.

**7.101.9.Review by the College Promotion and Tenure Advisory Committee** ~~submits its written recommendations and supporting rationale to the dean.~~

The review by the PTAC shall follow the procedure specified in Section 7.101.9.

**7.101.10.Review by the Dean**

The review by the Dean shall follow the procedure specified in Section 7.101.10.

#### **7.101.11.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.

#### **7.101.12.University Review Board**

The review by the University Review Board forwards all comprehensive files and recommendations to the provost.

#### **7.101.13.Review by the Provost**

The review by the Provost shall follow the procedure specified in Section 7.101.13.

#### **7.101.14.Notification to the Candidate**

The Provost shall notify the candidate in accordance with Section 7.101.14.

#### **7.101.15.Promotion Appeals**

Any candidate who is not granted promotion has the right to appeal that decision in accordance with Section 7.101.15.

#### **7.142.Summary of Deadline Dates for Tenure and Promotion**

Table 7.12 Matrix of Actions by Date and Responsible Party									
Date	Action	Responsible Party							Post
		Candi-date	Dept. Chair	Dept. Commi-tee	PTA C	Dea n	UR B	Pro- vost	
Oct. 20	Deadline for Department Chair to place a copy of the Departmental Committee Report in the candidate's Comprehensive Digital File and the original in the candidate's personnel file in the Dean's office.		X						
	Deadline for Provost to make candidate's Comprehensive Digital File available to PTAC.							X	
Oct. 25	Deadline for Dean to convene the first PTAC meeting.					X			
Nov. 1	Deadline for Provost to provide URB members with access to the CDFs of all promotion and tenure candidates that they will review.								
	Deadline for Department Chair to submit his/her report to the Dean.		X						
Nov. 5.	Deadline for Dean to place Department Chair's original report in the candidate's personnel file in the Dean's office and a copy of the report in the candidate's Comprehensive Digital File.					X			
Nov. 15	Deadline for Department Chair to meet with candidate to inform candidate of Departmental Committee and Department Chair's recommendations.		X						
Dec. 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		

7.123.Voluntary Separations

7.123.1.Resignations

Table 7.12 Matrix of Actions by Date and Responsible Party								
Date	Action	Responsible Party						
		Candi-date	Dept. Chair	Dept. Commi-tee	PTA C	Dea n	UR B	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

Faculty members are expected to give reasonable notice before terminating their appointment. Notifications 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).

7.123.2.Retirement

University personnel

Faculty members who qualify for retirement benefits under the State Teachers' Retirement System of Alabama (TRSA) should contact the Office of UAH Human Resources 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 employee-faculty member. TRSA requires that the Application for Retirement be submitted between 60 and 90 days before retirement.

7.14 DISCIPLINARY POLICIES AND PROCEDURES  
between 60 and 90 days before retirement.

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](http://www.uah.edu/admin/HR/benefits/retireeinfo.php) and at the [TRSA websites](http://www.rsa-al.gov).  
(<http://www.uah.edu/admin/HR/benefits/retireeinfo.php>, [www.rsa-al.gov](http://www.rsa-al.gov)).

### **7.134. Disciplinary Policies and Procedures**

#### **7.14134.1. 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~~ [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.

#### **7.14134.2. 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~~ [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~~ [misconduct](#); serious failure, without adequate ~~justification~~ [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~~ [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.

##### **7.14134.2.1. Preliminary Procedures**

The decision to initiate dismissal proceedings may be made by the faculty member's ~~department~~ [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~~ [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~~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~~informed in the statement. The statement is to be prepared by the department chair or the ~~dean~~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~~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~~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~~gathering the facts relating to the charges. A written report is then made by the PAO to the ~~Provost~~Provost setting forth a summary of ~~findings~~findings concerning the factual basis for the charges and a recommendation for action to be taken. Two actions may be recommended:

— ~~(b-)~~ The PAO may attempt to facilitate resolution of the charges through informal ~~consultation~~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~~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~~conflict of interest policies.

#### ~~7.14.134.2.2~~ 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~~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 ~~response~~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~~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~~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~~general procedure outlined in a. above.

~~(c-)~~ The faculty member may deny the charges and/or deny that the charges support a ~~finding~~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.

#### ~~7.14.134.2.3~~ Hearing Procedures

If the faculty member has requested a hearing in a dismissal proceeding, the following ~~procedures~~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~~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~~ representative of the faculty member before the faculty panel. An attorney who disrupts the ~~flow~~ 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~~ five faculty members selected from among the members, ~~regular~~ regular or alternate, of the Faculty Appeals Committee (FAC). FAC members with bona ~~fide~~ fide reason for ~~disqualification~~ disqualification, such as bias, ~~conflict~~ conflict of interest, or other cause, may remove themselves from the list of potential Hearing Panel members. A roster of remaining ~~regular~~ regular FAC members will be presented by the FAC ~~chair~~ Chair to the faculty member and the ~~proponent~~ proponent, each of whom may request the ~~chair~~ 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~~ Chair will then select, by lot, ~~five~~ five faculty from the remaining FAC members, and these ~~five~~ five faculty will constitute the Hearing Panel. Alternate FAC members may be ~~included~~ included on the roster if necessary to allow the operation of the foregoing selection ~~process~~ 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~~ 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~~ 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~~ 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~~ findings of fact and ~~provide~~ provide recommendations regarding dismissal, if necessary or appropriate under the ~~circumstances~~ circumstances. The Panel may solicit and receive evidence from any source to assist it in developing its ~~findings~~ findings and recommendations.

~~(h-)~~ The Hearing Panel will submit its ~~findings~~ 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~~ 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~~ 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~~ five (5) working days. After

receipt of any further report from the Hearing Panel, the President will render a ~~final~~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~~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~~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~~file that is maintained, after the conclusion of the proceeding, in the Provost's ~~office~~.

office.

#### **7.14.134.2.4 Interim Suspension**

A faculty member may be suspended or assigned to other duties in lieu of suspension pending the ~~final~~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~~final. Ordinarily, salary will continue during such an interim suspension.

#### **7.14.134.3 Sanctions Other Than Dismissal**

##### **7.14.134.3.1 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~~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~~informed that the proceedings may result in major sanctions, including dismissal.

##### **7.14.134.3.2 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~~include any conduct or performance problem adversely affecting the ~~fitness~~fitness of the faculty ~~member~~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~~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~~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~~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.

## **7.15-145.Faculty Rights and Responsibilities**

### **7.145.1.Equal Employment Opportunity, Nondiscrimination and Affirmative Action Policies**

#### **7.145.1.1.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](http://www.uah.edu/legal/uah_policy_pdfs/Discrimination%20Grievance%20Procedures.pdf)).

#### **7.145.1.2.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 7.4314. 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 7.4314.

### 7.145.2.Academic Freedom

Academic freedom of the faculty is indispensable to ~~fulfilling~~fulfilling the university's mission. The ~~university endorses~~university therefore adopts the following ~~excerpt from the statement~~American Association of University Professors (AAUP) policy statements on academic freedom ~~from the AAUP Policy Documents and Reports, (1990) (pp. 3-4):~~

#### 7.145.2.1.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."

#### 7.145.2.2.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)

#### 7.145.2.3.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."

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

#### 7.145.2.4.Academic Freedom in Extramural Utterances

~~College~~ and university teachers are citizens, members of a learned profession and ~~officers~~~~officers~~ of an educational institution. When they speak or write as citizens, they should be free from ~~institutional~~~~institutional~~ censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational ~~officers~~~~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—

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 7.43-14 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.

#### 7.145.3. Professional Ethics

The University adopts the following excerpt from the "Statement on Professional Ethics" from the *AAUP Policy Documents and Reports*, (1990~~2006~~) (pp. 75-76):

*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~~responsibility to their subject is to seek and to state the truth as they see it. To this end ~~professors~~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~~extending, and transmitting knowledge. They practice intellectual honesty. Although ~~professors~~professors may follow subsidiary interests, these interests must never seriously*

hamper or ~~compromise~~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~~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~~academic conduct and to ensure that their evaluations of students ~~reflect~~reflect each student's true merit. They respect the ~~confidential~~confidential nature of the relationship between professor and ~~student~~student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge ~~significant~~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~~academic debt and strive to be objective in their professional judgment of colleagues. Professors ~~Professors~~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~~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~~citizens. Professors measure the urgency of these obligations in the light of their ~~responsibilities~~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~~promote conditions of free inquiry and to further public understanding of academic freedom.

**7.15.3-145.4.Extramural Professional Activities**  
~~and Conflict of Interest~~

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 elsewhere in this Handbook (See Section 7.4415.2.).

By accepting employment with UAH, ~~full-time in any categories of appointment, except adjunct faculty appointments and temporary, fixed-assignment faculty appointments,~~ faculty members ~~confirm~~ confirm that their primary professional commitment is to the university. ~~Outside obligations, financial interests or other~~ and have a responsibility to ensure that extramural professional activities ~~shall 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 7.4415.5.

#### **7.145.5.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.

##### **7.145.5.1.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 ~~conflict~~ purposes of this policy, a "family member" is defined as spouse, adult sponsored dependent, children, parents, grand-parents, 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.

#### 7.145.5.2. 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.

#### 7.145.5.3. 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.

7.145.5.4.Procedures for Handling Allegations of Violation of Conflict of Interest Policy,—see Appendix I.

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 7.4415.5.3. 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.

#### 7.145.5.5. 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~~specific situations involving members of their immediate family. Faculty members may neither initiate nor participate in institutional ~~decisions~~decisions involving a direct ~~benefit such as~~benefit to a family member, including decisions pertaining to initial appointment, retention, promotion, salary, leaves-of-absence, and other such ~~benefits~~benefits to family members ~~of their immediate families. Immediate family is defined to include one's spouse, parents, grandparents, children, grandchildren, brothers, sisters, or similar relationships, as defined in law Section 7.4415.5.1.~~ No appointing authority may employ or appoint a person related to him or her within the fourth degree of ~~affinity~~affinity or consanguinity to any job or position within the university.

#### 7.17-145.5.6. Tutoring

No ~~one on the payroll of the university~~faculty member is permitted to tutor any UAH student ~~in the university~~ for compensation except with the permission of the ~~chair~~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.

#### 7.18-145.5.7. Political Activity

Faculty members are authorized to engage in political activity provided that it does not result in a ~~conflict~~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 ~~university employees~~faculty members if they clearly indicate that they speak for themselves and not for the university. ~~Employees~~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. ~~Violations of this policy are grounds for dismissal.~~

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

No ~~university employee~~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~~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 ~~university employee~~faculty member must comply with Rule

320 of the Board of Trustees of The University of Alabama and existing state and federal laws. ~~Employees~~[Faculty members](#) who have a question about their involvement in such activities should seek guidance and ~~approval~~[approval](#) from the ~~university~~.

[UAH Faculty Handbook \(2013\)](#)

Violations of this policy are grounds for disciplinary action, in accordance with Section 7.19-13.14.

#### 7.14.5.8. Service as Bank Director by University Officers

Faculty members shall not initiate or reciprocate a sexual or romantic relationship with a student enrolled in your class ~~any of their classes~~ or under your ~~their~~ supervision. Faculty members entering into such relationships with an existing student are subject to judicial review, reprimand, and possible termination.

In cases ~~of established~~ in which there is prior sexual or romantic relationships between a faculty member and a student ~~an individual~~ entering your ~~a faculty member's~~ class as a student or coming under your ~~the faculty member's~~ supervision, ~~disclosure of as a student, the faculty member must disclose the relationship with your to his or her chair or equivalent and/or dean is required in order~~ to avoid or mitigate any potential ~~conflicts~~ conflicts of interest and/ or sexual harassment claims ~~related to the student in question. Faculty are 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~~ conflicts of interest claims that may arise from other ~~students~~ students in the class.

## **Administrative Brief for Faculty Senate for October 2021**

**Prepared by Dr. Robert Lindquist**

**10/14/2021**

### **Academic Affairs**

- **Introduction of Associate Provost for International Services, Academic Integrity, and Dean of the Graduate School**
  - Dr. Jon Hakkila will be attending the Faculty Senate Executive Committee meetings when needed.
- **Faculty Hires have been approved**
- **Provost Search Underway**
  - Committee has met for the first time
  - Timeline has been set with a target end date of July 2022.
  - Look for email from Provost Office within a few weeks soliciting help with recruitment.
  - Confidentiality terms have been delivered.
- **Retention Reports**
  - Invitation provided to all FSEC members for access to reports
  - Look for email on October 5, 2021.

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**FACULTY SENATE EXECUTIVE MEETING**

**October 14, 2021**

**12:50 PM to 2:20 PM**

**MSB 109**

***Present: Tim Newman, Joey Taylor, Carmen Scholz, Carolyn Sanders, Mike Banish, Emil Jovanov, Christina Steidl, Andrea Word, Elizabeth Barnby***

***Absent: Laird Burns***

***Ex-Officio and Guest: Interim Provost Bob Lindquist, President Darren Dawson, Rhonda Gaede, Dr. Jon Hakkila***

- **Faculty Senate President Tim Newman called the meeting to order at 12:55 PM.**
- **Meeting Review:**
  - **Blood Borne Pathogen Policy voted to be on agenda contingent upon receipt of plan.**
  - **Title IX Policy voted to be sent to Faculty and Student Development Committee.**
  - **Bill 468 passes first reading.**
- **Administrative Reports**
  - **President Dawson**
    - **Facility report is the same. I have three items today. We were asked to provide budgetary data on the growth of nonacademic areas. Todd will present that in the next budget meeting. Lastly, the system will say at the end of this month to remove the mask requirement on campuses. They will not force us to do that. They will give us lead way as to what we would like to do. We are thinking to keep mask on in classroom and instructional labs until the end of the semester. I don't know if you would like to think about this and respond back.**
      - **Andrea – Will the staff weigh in on this?**
      - **President – Yes.**
      - **Andrea – Should we go back to our colleges for faculty opinion?**
      - **President – Yes.**
      - **Carmen – I am in favor with it.**
      - **Beth – I polled the nursing. There were some in favor and some not. They did feel it should be all off or on. If we are going to remove mask, we do want to do this in the classroom.**
      - **Carmen – We are talking about removing the mask everywhere in January.**
      - **Mike – I would like to see us maintain them. If you are really having a hard time communicating, you can take the mask off. In the cafeteria, it is probably foolish to have them. In the library, I think we should maintain them. That is considered an instructional area. I did discuss this with my students. I think there needs to be some idea of care to maintain. I don't**

see a problem with relaxing but I think we need to be vigilant. What does the Communicable Disease Committee say?

- President – That is the recommendation from the system. The large committee is making the decision. We haven't asked ours.
- Provost – They will go with CDC recommendations.
- Rhonda – We have dropped in cases in Madison. We are rapidly getting to a point where things were different.
- President – Let's take it to the Communicable Disease Committee.
- Carolyn – I felt last year we were very aware of numbers on campus. We aren't made aware as much now. In a class of 13, I have three out with COVID or in quarantine. I think we need to be made aware.
- President – They are reported on the dashboard every Monday. It has been around 10.
- Carolyn – If every student is reporting correctly is the issue too. I have had three out of thirteen out.
- Beth – Huntsville Hospital is back to normal capacity.
- Joey – Are they going to monitor numbers if numbers increase during the spring?
- President – That hasn't been decided yet. We are waiting to see how December looks. We intend to not have any restrictions in January. We can turn it back on if it changes. Our committee can decide what to do based on local numbers. I would suspect we will see what happens over Christmas holidays.
- Rhonda – In my department, we had a professor test positive. I think it would be worthwhile to stay the course.
- Provost – Did the professor report? That is key. They have to report to keep up with numbers.
- President- If you go into common areas, it has become very hard to police this. The students aren't wearing their mask. The further we go, the harder it is more difficult.
- Rhonda – Is it harder in the classroom?
- Mike – I have no issue.
- Provost – The moment the system says we don't have to it will be hard in common areas. The classroom is controlled by the professor.
- President – I think you need to come up with bullet points.
- Christina – Every time we take away, it is harder to reinstate. I would like to see the committee set a rate that if we hit, we go back to mask. It would appease faculty and students that are concerned about not wearing mask.
- Carmen – Those who want to wear a mask are allowed to do so. I met my senate colleagues in Tuscaloosa a while back. They had several in students in quarantine. Actually it wasn't true, they just had ten days off.
- President – We will ask the Communicable Disease Committee to look over this.
- Tim - I want to make some comments to senate resolution one for this year.
- Andrea – I had a question from Laird. Where do we go to see the number of scholarship recipients annually? You can see total scholarships given totally. We would like to know how many students that equates to.

- President – We can get that number to you.
- Tim – I went through the response from the administration. One thing I noticed on the table given. It really omitted some things that need to be considered. Go to UAH Financial Report. I looked at the report posted in January. I compared 2019 to 2020. There was no raise a year ago or this year. The investment managers gave an update. They shared we had a couple of increases. If you would show the liquidity fund file. The UAH share is \$60M and we have \$30M in the pooled endowment fund. In the same report, I noticed we had some bonds we refinanced a year ago. Their interest rates is no higher than 4.5%. Four of the last five lines are at 5%. If we want to talk about a recurring source of income, we could knock that down a percent. It could fund faculty equity. I think the response was incomplete. I really think the baseline should be 9-30-2019. We had a \$1.7M increase in tuition and fees. There are still unspent funds from 2019 even if we dropped off in 2020. There is a \$3M increase from 2019-2020. There is \$4.7M from 2019. It appears we do have funds for a raise pool.
- President – When you start looking at changing these forms. You need to ask these questions to Todd each budget meeting. The liquidity pool is one time money. You can't use that for raises. Todd can speak to when and how you can invade that pool for one time. For refinancing, Todd is already looking at those. I think you should take those and give them to Todd.
- Tim – Do you right now see anything wrong with what I have here?
- President – When the books closed for this year, we were only left with the number on the chart to spend in recurring dollars.
- Tim – That is using the 2020 baseline not 2019.
- President – You will have to get Todd to explain the table. It is from the last year. You will have to get Todd to talk about the alignment of this with the other statements.
- Tim – This is from fall 2020.
- President – Okay, bring your questions to Todd.
- Carmen – Any more questions?
- Interim Provost Robert Lindquist
  - I am very pleased to introduce Dr. Jon Hakkila. He comes with experience from Huntsville.
  - Dr. Hakkila – I am very pleased to be here.
    - Mike – I was part of the first group to talk with you. Where do you see a couple of your first thrust areas?
    - Dr. Hakkila – I am moving to make sure that we are appropriately celebrating our student successes. There were some awards that were put to the side that need to be reintroduced. Three Minute Thesis is one that we will bring back. This is about presentation of thesis or science. It doesn't always have to be a project near completion. We are reopening the Master Thesis Awards this fall and Faculty Mentor Awards. First on the plate is to let our graduate students know how much we support them and appreciate them.
    - Carmen – Welcome. The faculty will task you with two more things. When my graduate students submit anything to the Grad School I tell them to



keep a paper copy. There is inconsistencies. We would appreciate you rebuilding that. The second issue is with our legacy students. Their ability to graduate from paper to electronic. We have some students who are with us for a long time because they work across the street. Over time, the courses have accumulated but never entered into our system. So they are not recognized when they want to graduate.

- Rhonda- Everything was carried forward. Can you give me a person so I can go look at this? When you look someone up in banner, they are inactive after one year. You can find them by their A number.
- Tim – When they transitioned from paper to electronic records, the older students, have not be transferred.
- Dr. Hakkila – When you say legacy students, how long? These are students that should be kept alive. There are standards that we should uphold for time to complete. There are general guidelines.
- Carmen – We aren't asking you go and scan for weeks. Those students that do show up as legacy students are treated with more respect and be helped.
- Dr. Hakkila – I understand there is a lot of paperwork that needs to be looked at. The faculty are the ones that develop and maintain the curriculum. The administrations job is to look at guidelines so that they are maintained. They go together at good record keeping. I think there are full time and part time students. There should be definitions on times for them. Part time expectation is different than full time.
- Carmen – I have a student that is still here from when I came.
- Dr. Hakkila – My thoughts would be that the department has something written in for these kind of part time students for SACS purposes.
- Beth – The College of Nursing would like to respectfully ask for amnesty. The people that have been here for a long time knew how the forms should be done. The newer faculty that have taken on doctoral students have not done the form properly.
- The faculty hires for all the colleges, except education, have been approved.
  - Carmen – I am told by some that engineering only received three positions and the rest are reappointments.
  - Mike – I cannot confirm or deny. You gave us nine positions. One was carved off for Cyber. The dean put forward two for electrical, chemical, and computer. There were four up for grabs. One went to mechanical. I have not heard lecturers taking those positions.
  - Bob – I gave tenure track positions, not lecturer. Lecturer are two year appointments. Sometimes that was an agreement with Christine and the Dean. There were positions that were just two years that were agreed upon before I got here. I released tenure track.
  - Carmen – You allocated so many new tenure track positions. If someone hands in their resignation effective 1/1.
  - Bob – It stays in the department. They can deem that to another area of resource. The money stays in the department to pay. You don't get a position immediately but you do have the money. In the past, it was sucked up to the Provost. I am not doing that. I am not saying you get the position

back. The Dean would have to ask for that position back. With one exception, you are going to get a non-tenured person back. I want the tenure position decided upon quality not that you could lose the position. I am a temporary Provost.

- The Provost search is underway. The committee has met for the first time yesterday with the search firm. The target end date is July 2022. You should see an email asking for recruitment. The faculty do sign a confidentiality report. The reality is everyone on the committee will violate confidentiality.
- Tim – There have been some explosive articles from South Alabama about the system. Do these apply to our administration?
- President – Not at this time.
- Carolyn – Are committee members listed somewhere?
- Bob – No.
- Carolyn – I feel that should be public information.
- Bob – They won't be selecting. Their charge is to whittle down the number of candidates.
- President – I don't think there are any issues with telling who are on the committee.
- Bob – I would just hate for those to be targeted with questions.
- At the Faculty Senate meeting, there were comments about the Hanover Reports.
  - Rhonda – They were found and placed on a share drive.
  - Mike – Thank you for doing that.
  - Carmen – Have we pushed back the date for dual email authentication?
  - Bob – It is actually today.
  - Mike - I have done it. My issue is plug in your cell number so the university can verify. It is continue mixing of duo platforms. It is a minor inconvenience but faculty almost have to have a cell phone to do this.
  - Emil – You have the option to use the new application. It is free on iPhone and Android. You don't need to include your phone on the authentication process. I disable my phone when I travel to Europe. I can authenticate through this process. It is a great option.
  - Bob – There are backup codes.
  - Rhonda – The objection is providing your number?
  - Bob – And that you need a phone.
  - Mike – It is my phone I pay for to verify university system.
  - Carmen – I can only echo Mike's words. I have a problem with my employer using my personal devices to do my work. I only use burners.
  - Rhonda – Your position should be the university provide a phone.
  - Carmen – Or another way to handle the authentication.
  - Beth – I don't need an office phone but a cell phone. I use my personal cell phone.
  - Carmen – We are in this position now. My point is if my employer wants me to have a certain tool, it should be provided. Bob, would you speak to the withdrawal policy next week?
  - Bob – Yes.

- Rhonda – If a student didn't get a satisfactory grade, they will be dropped from the class.
- Carmen – It doesn't work. They are in the class even though they shouldn't be.
- Joey – I've heard some departments don't run the report.
- Rhonda – It is an issue with the department. The advisor usually reaches out to the student.
- Carmen – It doesn't work.
- Rhonda – It works in engineering, sorry it doesn't in science.
- Carmen – I have those marked that shouldn't be in my 440 because they don't have Organic.
- Rhonda – We would need to see who put the overdrive on to let them in the class.
- Joey – We did have that issue.
- Rhonda – If I can facilitate working with the advisors, let me know.
- Joey – We have ended that.
- Carmen – For the current semester, we were told the Chair would have a list of those who shouldn't move forward.
- Bob – The withdraw pass/fail list was not easy to get. It was a lot of manual labor. We have not fully looked into the student who was taken the class with a "D". They could probably be forced to take the class again. I see a list of grievances. It is going to take time.
- Dr. Hakkila – These issues are happening at all southeast universities. We have to be fair to the students.
- Carmen – The faculty are worried they will run into more problems.
- Rhonda – If colleges are doing what they should with the report, there won't be any issues.
- Carmen – I can give you some names.
- Mike – I had a discussion about a student who got a "D" in Physics. He wanted to take circuits for an elective. They said no. That is a different policy than we are implementing with our students. The issue is you got a "P" and could take it. A transfer have a hard prereq but others are skating under the water.
- Bob – Because of COVID. There was a no win situation. The UAH student should have not been allowed forward. The problem is we didn't have the means to do that easily.
- Carmen – The issue will come up in the senate.
- Bob – I don't have an immediate solution for this problem. You can't do anything for this semester.
- Carmen – Maybe you can ease the faculty minds.

➤ **Officer/Committee Reports**

- Carmen Scholz, President
  - I have an issue with using personal devices. Two VPR's ago, Senate Chairs were given paid cell phones. Joey asked about Diversity in hiring faculty. I didn't receive an answer.
    - Joey – I am on a committee to discuss diversity. We won't meet until next month.

- Beth – Some faculty in the College of Nursing didn’t get it and some did.
- Andrea – Who wrote the survey?
- Joey – I don’t know anything about it.
- Mike – I would bring up the fact that all this stuff happens and we hear about it post communication.
- Andrea – I was supposed to be on the Diversity Committee. When surveys go out like that, I am confused.
- Christina – The one we are on is the strategic planning committee.
- Joey – I don’t know anything about the survey.
- Mike – I have three people here that are on some advisory committee for diversity and they have no clue what we just got sent. That seems like a serious problem.
- Beth - I am on a diversity committee but it’s different.
- Carmen – This is another case of shared governance.
- Tim – Some didn’t know that you could leave those blank.
- Joey – It was problematic.
- Carmen – Maybe the senate leadership would have appreciated a heads up. A related issue is we want to hire a diverse faculty. We make it hard for them to stay because their spouses aren’t considered. On the Dean level, the spouse is hired but not on the faculty level.
- Mike – We have three or four spouses that have very good employment. We have had faculty leave, critical staff, because their spouse couldn’t get a job.
- Joey – It affects our recruitment of students in color. We want to expand our enrollment in positive ways.
- Carmen – We have a very good African American biochemist. The spouse has a degree in music and nothing happens.
- Carolyn – It is a challenge. We have such focus on specialization.
- Joey – I asked about targeting. When we hired in the past, we don’t get applications. I asked about being aggressive to seek candidates.
- This bill popped up on my desk last week from Kelli Gonzalez. There were issues with them being sent to the wrong email. I am asking we pass this for senate.
  - Mike – Do we have the policy?
  - Carmen – No that is the policy.
  - Mike – Where is the plan? I won’t vote without seeing a plan.
  - Joey – Agree. We need to see the plan.
  - Tim – If we get a plan, do you want it on the agenda?
  - Joey – I would say the agenda is full with Chapter 7.
  - Carmen – Do I have a motion to place conditionally on the agenda? Mike moves. Beth seconds. Ayes carry.
  - Emil – Before you push for the cell phone change of rule, when I activated my iPhone I received discount for working at UAH.
  - Mike – It is a state employee discount.
- Title IX Policy
  - This policy has been given to us by Laterrica’s office. We have 90 days to work on it.
  - Joey – It is problematic. I think it needs to be sent to several committees.
  - Carmen – Do you have a suggestion on committees?

- Andrea – Personnel?
- Carmen – I feel Faculty Development should look at it. Is there a motion? Mike moves. Joey seconds. Ayes carry.
- Mike – Let the rest of the senate know that these are out and comments should be directed to these committees.
- Carmen – I have sent you the document from Themis Chronis on his studies on retention. They are asking us to recruit but faculty are not involved. I would like to discuss that next FSEC.
- Carolyn – You sent that to us?
- Carmen – I will send it to you.
- Carmen – Andrea, any progress on foreign recruits?
- Andrea – Yes, I have written a draft. I will report back to Joey.

➤ FS Agenda

- Carmen – The first on the list should be Chapter 7. Motion? Joey moves. Andrea seconds. Ayes carry. Can we sneak in Blood borne Pathogens if I get a plan?
  - Joey – Will we address ad hoc committee?
  - Mike – Order should be second reading, first reading, policy, and new items for consideration.
  - Carmen – For first reading we have bill 466, 467, 458.
  - Joey – Bill 458 hasn't passed because we keep putting it off.
  - Mike – You can say the same about the bill about foreign hires. I can't help that Jeff isn't here.
  - Carmen – We have four items of new business.
  - Joey – The committee met and the report was received.
  - Emil – We have serious questions.
  - Andrea – What are we waiting for?
  - Joey – This bill continues to be pushed aside at the executive level. It needs to go to full senate.
  - Carmen – What do you want to do with the conclusions established by your committee?
  - Andrea – What can we do? The committee isn't making recommendations. Should we take the bill and rework it?
  - Emil – There are very specific changes for recommendation.
  - Joey – Who votes on those changes?
  - Christina – I think it should be put to the senate and they vote.
  - Emil – I thought any version with those changes included should be provided then discussed. We have specific suggestions floating around.
  - Andrea – I think we will spin out at full senate. It now has two pieces to it. Can we take the recommendation in personnel and consolidate it into a working document?
  - Carmen – That sounds reasonable to me.
  - Joey – Chapter 7 should come first but I am tired of it being pushed around.
  - Carmen – We have two options. We can take the recommendations to senate and let them vote or give to personnel committee?
  - Beth – I think it needs to be buffed up. I think it will fail at senate level.
  - Joey – Some edits at Governance and Operations are incorrect. Bill 466 and 467 were on agenda for second reading.
  - Carmen – Can I get a first reading on Bill 468? Emil moves. Beth seconds. Ayes carry.

➤ Adjourned at 2:30 PM.

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**FACULTY SENATE MEETING**  
**September 23, 2021**  
**12:50 P.M.**  
**CHAN Auditorium**

- ***Present: Tobias Mendelson, Laird Burns, Jose Betancourt, Angela Balla, Kwaku Gyasi, Debra Heikes, Christina Steidl, Mike Banish, Rui Ma, Maria Pour, Emil Jovanov, Fat Ho, Sarma Rani, Gang Wang, Chang-Kwon Kang, Susan Alexander, Elizabeth Barnby, Anna Aultman, Leiqui Hu, Jerome Baudry, Jeff Weimer, Harry Delugach, Vineetha Menon, Sivaguru Ravindran, Themis Chronis, Gang Li, Andrea Word, Sarah Dyess, Michael Crow, Ron Schwertfeger, Carmen Scholz, Joey Taylor, Carolyn Sanders, Tim Newman***
- ***Absent with Proxy: Sophia Marinova, Anthony D'Costa, Dilcu Barnes***
- ***Absent without Proxy: Andrei Gandila, Kristin Weger, Bryan Mesmer, Azita Amiri, Donna Guerra, Amy Hunter, Lori Lioce, Larry Carrey***
- **Faculty Senate President Carmen Scholz called the meeting to order at 12:52 pm.**
- **Meeting Review:**
  - Bill 459 passes third reading unanimously.
  - Policy 01.03.07 passes.
  - Bill 464 passes third reading unanimously.
- Carmen – I will suspend the normal order of business, and ask Past President Tim Newman to join me. I want to thank Tim Newman for his service as Faculty Senate President. I don't think we have ever had a Senate President as committed to shared governance and academic freedom. Tim took on a tremendous amount of work on his own time on behalf of us the faculty. I want to present him with this plaque. Thank you, Tim.
  - The senate applauded Tim.
- **Approve FS Minutes from 19-August.** Carmen displays the minutes on the screen, showing in red the corrections that have already been sent to her.
  - Laird offers an amendment regarding his statement on the BETA policy.
  - Mike Banish moves to approve, Carolyn Sanders seconds.
  - Minutes approved unanimously, as amended.
- **Accept FSEC report from 09-September meeting.** Carmen displays the report on the screen, showing in red the corrections that have already been sent to her.
  - Tim offers an amendment to the report: Carmen called the August meeting to order, not him.
  - Carmen acknowledged that Lauren is unable to be here today, and that Ron will be taking the minutes today.

- The report is voted upon and accepted unanimously, as amended.

## ➤ Administrative Reports

- President Darren Dawson
  - I will show my report on the screen. I will provide the facilities reports, then we'll have Q&A, then the Provost then the VP of Finance.
  - Facilities report
    - Refurbishments are going well, we are still on schedule.
    - Roof replacements are still on schedule, to be done by December 2021.
    - Phase 3 of the Greenway is on schedule for substantial completion for December 2021.
    - Phase 1 of Shelby is on schedule.
  - Upcoming facilities projects on the hopper
    - Greenway phase 4, connecting from near the Library to Morton. That will be starting in spring.
    - We are still working on the Bevill Center project, we have some real work to do for classroom renovations, sometime probably in January. We need to move to Board of Trustees.
    - Temporary space in the CTC for the Counseling Center. We have identified the space, and we will start renovations in the CTC for Counseling and for the Clinics.
    - The demolition of Executive Plaza will start in December.
    - For the work on Spragins Hall, we are looking at the end of March, including landscaping.
  - We will be continuing the vaccination site in Executive Plaza; we will probably move that to the CTC when we demolish Executive Plaza.
    - Tim Newman – The University got into financial problems in the past by committing to capital projects that the university should not have. Faculty have paid for that with lost wages. As I look at this list, has there been any consideration to delaying the Greenway phase 4 and Spragins for at least a year, till our finances are replenished?
    - President – With Spragins, we were fortunate, we got a lot of money from the foundation. We believe that if we go ahead & renovate Spragins that will open it up to donor opportunities. Every dollar from philanthropic giving or donations, that's one less dollar that we need to spend from central reserves. We are fortunate in that bond we got from the state, we had an infusion of one-time monies from the system, using for one-time projects like the Greenway and roof replacements. That's how we do these projects, from the bond money. We are not taking any money from the central reserves that we would normally do to fund these projects. We are being very careful about the money we spend on these projects. Todd Barré will speak to this, too.
    - Carolyn Sanders – In connection with the lengthy discussion at the recent FSEC meeting, regarding the administration's formal response to the Faculty

**Commented [1]:** \_believe\_ that this is the spelling for this word; thus, I have used it 5 times in the minutes. If that is incorrect, a find-and-replace should fix all of them.

**Commented [2]:** I had this phrase in my notes, but I don't remember why. Do we need to include this here - if so, what do we say about this? Or just delete this?



Senate request for pay raises for faculty and staff, can you elaborate on that for the Faculty Senate as a whole?

- President – The numbers are self-explanatory in the response to the resolution. The way it worked this year is because of the enrollment shortfall. We didn't get money from the state that would compensate for that. Those 2 events in revenue and losses almost exactly match. So there was really no new revenue to cover recurring expenses like raises.
- Carolyn – To follow up on the FSEC meeting, I made a suggestion to see if the administration could possibly provide raises to those making \$150K or less, or \$100K or less, the door was not entirely closed. I'm wondering if that's something the administration has explored since that time.
- President – We talked about it a lot right after, with Todd. We are still talking about it. I wouldn't be really hopeful, because any raises are recurring expenses. The one-time monies we got from the state and from the bond are one-time monies. Todd can talk about that if he wants. We have had a lot of discussions, just don't hold out hope for that at this time.
- Harry Delugach – Did you or any senior administrators get a raise last September?
- President – No.
- Angela Balla – Is there any discussion of any administrators foregoing bonuses?
- President – The only person who gets administrative incentives in their contract is myself. That was part of the original contract that was signed when I came here. The chancellor has your resolution, he is the one to make that decision.
- Themis Chronis – is there a timeframe, that we can expect raises for faculty & staff in the future, in a couple of years?
- President – We talked at the FSEC about what we need to do. We believe that we will get an increase in state appropriations next year, for next August. What we all need to do – to work together, to get raises at this institution – is to grow enrollment. We all need to increase full-time first-time freshmen, and to retain students.
- Mike Banish – About the comment in FSEC, we previously had spoken rather directly with the previous provost. She did not want any faculty involvement in recruiting, and was very hesitant to discuss retention with faculty. I have not seen anything change in that time. You make statements that we have to do this, but I have seen no implementation or engagement
- President – We'll talk about that at the first of October. We'll discuss at Council of Deans; we'll engage the faculty that way, about things we can do to increase enrollment.
- Mike – As a follow-up question, about a decade ago, some Engineering departments were very upset when they took away our freshman classes. The Provost's response to that was that it would increase retention and give us a recruitment tool. The Dean's raises are tied directly to student retention. Since that time, what have been the percentage of raises for the Deans, and what have been the percentage of raises for the Faculty?

- Laird Burns – Prior to your tenure, under President Bob Altenkirch and Provost Christine Curtis, we were working on retention based on one single book. I forget the name of this book, but that's what all the administrators were trained on. There may be other research on retention; is that something we'll be willing to look at?
- President – There are a lot of best practices from other institutions that would really work.
- Provost – Rhonda and I have discussed this topic, and talked with different support groups that report to the Provost's office. The problem we're talking about is to help the ranking and retention.
  - We're going to look at the retention of every student, not just full-time first-time freshmen. That's a discussion I've had with Rhonda. We're open to lots of ideas.
  - Laird – Thank you for that. Could you send those updates to all the faculty, not just the Faculty Senate? That would help with shared governance and transparency. If you have research from Georgia State and from others, we would love to have that.
  - Andrea Word – Provost Curtis brought people from Georgia State about 5 years ago, and we had a study from Hanover. We have resources for what to do with retention, we probably have this.
  - President – We have that Hanover report. We see the types of things that we need. For example, we need to have DegreeWorks so that students can register on their own; we need to build that out.
  - Christina Steidl – I'm glad that you brought up Georgia State, and that you said that it's not just the full-time first-time freshmen. I am concerned about statements from Academic Affairs about recruiting and retention. We went ACT optional, and that was very good. However, that piece of policy is very hidden on the enrollment website. I am hearing from students that, if you don't submit ACT or SAT scores, you are not eligible for financial aid, you are not eligible for study abroad. I would like to see that commitment from academic affairs, so that those students are supported in their studies and throughout their time at UAH. Our concern is about the quality of the education that our students have.
  - Jeff Weimer – We have a chicken and egg situation: we have a set of faculty who have not had any raises, who have seen losses in the full-time faculty and decimation in departments, and yet now we are being asked that we have to engage in bringing up the student population, so that we can come back to normal. When we were first at 7K students, the statement was that we need to get to 10K students so that we can give you more. Now we are being told that we need to go above 10K in order to get back to normal. The greatest frustration from faculty is that. We can help with the problems, rather than being told what we must do to fix the problems.
  - President – I'm not saying what you must do. The mismatch between financials and recurring must match up. The only way mathematically for us to add raises as recurring expenditures is for revenues to go up in the same amount.

**Commented [3]:** I'm uncertain of the spelling of this name, as used by this group. If this is the wrong spelling, then we may need to fix it (both here & in President Dawson's response, below).

- Laird – I want to thank Andrea for bringing up lots of those documents. I have been a former Faculty Senate president, and I'm sitting next to another former Faculty Senate president, and we have never seen these documents. Is there a way to have a shared access to those documents from those exemplar institutions and studies?
  - President – Yes, we can have the Provost's office set up those documents, and share those across the institution. And we have the strategic planning process, where we are setting up a committee on student success. One of the charges for that committee or for a subset would be to have a task force to work on student success. When we talk about that, we talk about retention and persistence.
- Interim Provost Robert Lindquist
- Provost – First thing, I want to introduce Rhonda Gaede, who has agreed to serve as Interim Associate Provost. Many of you know Rhonda. I'll lean heavily on her; she has a lot more experience and history with this university on the academic side than I do.
  - About the Faculty Senate resolution, I have something to add: I am part of the reason. We have released 20 tenure-track positions. I'm talking to the deans about that, so we are increasing the number of faculty positions. That is an intention in moving slowly on these senate resolutions,
  - One of the key things that FSEC wanted was the ability to have these meetings using technology, remotely. I have good news and bad news. The system office has agreed that can the senate meet remotely. But we are still waiting for the bylaws to get through; everything else hinges on that. So, you can use technology to meet remotely for your operations.
  - COVID update: Another thing since the last meeting, about the changes to the COVID cleaning protocols. The issue we came across is in the increased number of students. Every time someone is positive in close personal contact in a room, previously the rooms were only at 50% occupancy. The problem is we now have higher occupancy and we also have the assumption that someone in the classroom is positive. We are getting classrooms cleaned once a week if not twice a week. The problem is the personnel to do the cleaning. We have foggers to use in classrooms that leaves the problem with individual employees. What happens when an employee tests positive? In a particular area, the recommendation is for the room to stay closed for 3 days, we recommend that area stay closed. You can still use it, you can wipe it down. We are leaving it up to the people in the room. The recommendation is to leave the room closed for 3 days. We are still doing contact tracing for everyone who tests positive. I have heard concerns about the Dean of Students and Human Resources ping-ponging back and forth. What happens if a student tests positive? That goes back to the Dean of Students. If you have 3 in a class who test positive, that might not be a cluster; you might have 1 who has it from one source, and not the others. We have over 2K classrooms. When a cluster occurs, every single student in the classroom needs to get tested, we have had to do that twice. For professors, we're having a problem because the professor would contact all these other people. What we want, when the student is contacting the professor, they are telling us that they cannot come to class; the best thing is to then tell the student that they need to report the positive result to the Dean of

Students. We do not change the modality of a class based on 2 people who tested positive. Human Resources ping-ponged back and forth. The decision is between the professor and their supervisor. When a student is positive, the Dean of Students is the only one.

- Themis – There is a crew of custodians who are cleaning classrooms. In the Optics building, on the second floor, we have a thousand students in the labs every week.
- Provost – In labs, we need to be very careful with those labs, we want to be careful with cleaning instrumentation.
- Themis – We are not talking about instruments, these are tables. The rooms are on the hallway on the second floor of the Optics building, where we were transferred after the Shelby flood.
- The provost noted this.
- Carmen – We added a significant number of new faculty. How many of those are lecturers?
- Provost – Mostly tenure track, some lecturers.
- Andrea – Are these faculty new lines, or replacements?
- Provost – Excuse me, I'm new here. The College of Science has 6 new lines, we're giving the opportunity to the deans to figure out.
- Andrea – In the Senate Personnel Committee, we've been looking at the net gain of faculty over 10 years. We've had a net gain of 16% full-time faculty since 2012, using IPEDS data.
- Tim – When we've had deans leaving recently, we've had the dean's responsibilities picked up by other senior executives, who get extra pay. Faculty have had to carry teaching overloads with no extra pay. It seems to the faculty to be a double standard, where administrators and those close to senior administrators get supplements for overloads, but faculty do not. This is a dangerous situation, and a morale-killer at UAH. And not giving raises is not helping with that one bit. If the news media got a hold of the supplements paid to the senior people, it would be a PR disaster. You need to think about what you're doing, if that goes out in the media. We're doing a lot of things at UAH that are not good PR if they get out. You administrators are lucky that you have the loyal faculty at UAH that you do; UAH does not deserve the loyalty that you have.
- Provost – There might be good news on the horizon. I have had discussions. If someone leaves a department, the provost is not taking that money, it stays in that department. We are not in the administration taking that person. Now, it does not allow you to just replace that position, you need to go to the dean to determine the allocation.
- Laird – Where in each college, where are those positions, what are the numbers?
- Provost – In the ballpark, College of Science has 8, College of Engineering has 8. Additional lecturer positions are not included. And 3-4 in the other colleges.
- Jeff – To step back to the COVID update that you gave. I appreciate the clarity who is handling what for faculty and for students. One of the requests I have, in hearing various things from Chemistry faculty, about

allowing that decision to be between the faculty member and their department chair as an example. I think it would be useful if there were some guidance from the Provost's office, so that we can avoid some inconsistency and some ambiguity. There are some faculty in my department, they say "I called this department, they don't know what to do" and getting a runaround.

- Provost – You're not going to like what I have to say. We can't just change the modality. For the precaution of everyone, you should assume that someone is positive in your class. Get vaccinated, take precautions, wash your hands. Overwhelmingly, students want to be in the classroom.
- Jeff – That's not where my question is. In a specific case, if a classroom where a faculty member knows that has been exposed and has COVID. If I understand your statement, they should next consult the department chair. Could there be some direction from your office? If the faculty member says that they are not willing to hold class, there will be no repercussions?
- Provost – They need to talk to their supervisor. If you're effectively having a modality change, I have an issue.
- President-elect Joey Taylor – About COVID, some faculty are still not comfortable teaching in person. What is the process we're following for faculty who've requested to not teach in person – for various reasons, having a young child, or other health condition?
- Provost – That goes through HR, not me. There are a number of people who have gone through that process and who are now teaching remotely. It is not a huge number; it is a specific process for that type of accommodation.
- Joey – What are specific examples of the types of accommodations?
- Provost – I'm not an expert, that would be a question for HR. Certainly, if someone is immunocompromised, that's something we take seriously. You don't want to get vaccinated? That may not be one.
- Joey – Last year, the administration was very accommodating. This year, we are back in the classroom.
- Sarah Dyess – Do we have current vaccination rates for faculty, staff, and students?
- Provost – Among faculty, we're approaching the other schools.
- President Dawson and Rhonda Gaede also answered to provide data from the UA system COVID dashboard. Rhonda added that the dashboard updates every Monday afternoon.
- Provost – The withdrawal policy has changed: students can withdraw up to the last day of class; but once the class ends, it's over. Effectively, it is the last class before you go into finals. Some classes are only 7 week classes.
- Vice President for Finance & Administration Todd Barré
  - VP – Thank you. I want to go over the budget, which was approved by the UA System office. I will explain a few other developments about our reserves, and answer some questions. He showed his slides on the screen.
  - This page represents new revenues, as approved by the System office last Friday. This will give some detail about what President Dawson said earlier. We were very fortunate to receive an increase, but our enrollment decreased, so we need to reduce revenue targets, that's negative \$4.2M. Coupled with that, we have

**Commented [4]:** I think this is what said. I only had the word "Modality" in my notes at this point, so I hope this is correct.

decreased the scholarship budget by \$1.3M. Connect those 3, total resources coming to UAH for 2021-2022 of \$1.6M. Part of that is tied into the \$5/credit-hour technology fee that must be spent on technology resources. That leaves us with \$259K tied to compensation, used for adjustments on lots of positions on campus. We have some fixed costs, for benefits, cybersecurity. Effectively, we only had \$300K in new dollars to spend. Some people have asked "Couldn't we do some kind of tiered pay plan?" but we don't have the money for that; we only have \$257K. The only way to fund a pay plan is to find new recurring revenue, or do a budget cut. The university is very thin everywhere, so that's very problematic. I'm not trying to belittle the placement of the pay raise and the priority of it. The only thing we were able to do was for promotions and for mandates.

- We based this budget on 9,700 students, for the fall headcount of students. The previous budget was based on 10,200 students. You've seen reports that we're down 360 students; based on last year's number, we're actually down 500 students – and we're still a little short of 9,700 students. Now, we have some flexibility to cover that. If you look at the red line, at what we budgeted in 2020-2021 and what came in. That's the challenge. You may ask "how did you come up with these targets?" Collaborative decision making with President Dawson, we brought in information from OIR and management. As you can see, we got close for Fall 2021, we missed it by 64 students.
- That also impacted our scholarship budget as well. If you've been around when I visited FSEC or the university's Budget & Planning Advisory Council, then you've heard me talk about our expenditures on institutional scholarships – not anything from pell grant or a gift – our expenditures outpace our budget.
- So the university developed a plan back in 2015-2016, we wanted to aggressively recruit students.
- Well, expenditures outpaced the budget. Unfortunately for President Dawson, on his second day here, he was told that this institution is on a scholarship trajectory that we cannot maintain. He started on it right then and there, working with the Board of Trustees, and with the System office staff. The gap you see is pretty big when you look at 2019-2020, about \$12M. So we could address it immediately with a budget cut, or we could work our way out over time. So our strategy for working our way out over time includes regular tuition increases, but the Board has not approved tuition increases in over 4 years. That is the hitch that exposes this strategy. We have been working with financial aid to bring down those expenses; we have brought down expenses by \$4M. We took a big bite out of budget over last couple years. We told the Board and the System office that we would get this done in 3 years; you can see from the graph that we'll get this done by next year's budget. When I got here, that's the only structural problem I saw with our budget. Our budget runs smoothly, very incremental.
- Someone mentioned what would it take, what's our projection for next year? Right now, we have it pretty good: Alabama has been quite remarkable, the funding for higher education is not messy, the legislature doesn't dabble, the reserve is built up, and we didn't have a cut. They are very conservative on appropriations, then they'll assess if we're having a good year. They're projecting. We've been told in the last couple of days that we're projecting another 7.5% increase in our appropriations for next year, \$4M. If our enrollment stays flat, we have a lot of things to go through; hopefully we don't

have a lot of surprises. The good news is the state funding is very stable. We have had challenges, with COVID and enrollment. We lost a lot of juniors, a lot of sophomores. That's something as a university that we can check to see what we can do to improve that.

- The last thing I want to talk about are our reserves. I hear that "our operating budget's tight" and "we're bankrupt." We're not bankrupt, we just don't have enough operating budget. Here's our reserve going back over our last two years. The central reserve is very low, but if you add up other reserves, we have over \$84M in reserves, so we're in very good shape. The reserves for my department are where we hold monies. My message here is that we have plenty of reserves; the central reserve is low because some big purchases were made with that. The key driver is that, 2 administrations ago, under President Williams, when we closed out the books at the end of the year, we used to split the unspent funds with the department and with central reserve. That stopped. So we changed that policy so that when we close the books, 75% will go to the department and 25% will go to the central reserve; that will slowly build it.
- Also about the central reserve: a \$5M gift was promised to the university for the I2C, but we haven't received it yet. We needed to finish building it and pay the bills. When we get that money, it will go back into the central reserve; it will be healthy in a few years.
  - Mike – I have 4 questions. Several months ago, we put forward a bill to ask for transparency in the budget book, to see the actual expenditures. That information would help to be a predictor of some of the things you saw that have been hidden from faculty for decades. We have not yet received a response to that.
  - VP – We thought about providing access to Banner finance, to look up that number. If you really want that column on that report, we can do that.
  - Mike – I want that.
  - VP – We can do that, but it will be misleading. You can look up the numbers.
  - Mike – Over the years, we have had multiple losses of faculty. You can say President Williams, but we'll leave him out. One of President Altenkirch's first actions was to encourage faculty to retire early in order to cut expenses. Those were all recurring dollars, those did not disappear, where did they go?
  - VP – That's a good question. I would need to trace those dollars and see where they were spent. I think some of it was LIRA program. Some of those monies are still available and used as a recurring tool.
  - Provost – 2 of the 20 faculty lines are identified as that.
  - Mike – What are our #1 and #2 fiscal pressures at this university?
  - VP – Enrollment and tuition. Tuition is not the answer to everything; it's an economic driver, just like inflation hits us at home. It's very challenging at UAH, with the revenue streams we have and the robustness of those. It's very challenging to have tuition flat for four years. One of the major inflationary factors that I see as CFO is our workforce and compensating our workforce.

**Commented [5]:** I'm unsure what the program was, or how it should be entered here. I may have misspelled it.

- Mike – We seem to have gotten ourselves in a serious budget pickle. You can say we're not broke, we can appropriate money from the research centers or from other places if we need to pay for something. It seems like we're in a situation where our sister institutions in this state could give their faculty a raise pool of 2% - 6%, but where we can't even talk about a \$500 raise for faculty. All of the administrators who were part of that, minus 1, were still here. I find that a pretty pathetic statement.
- VP – There were decisions made that put aggressive things in motion, driving up enrollment. It cost the university a lot of money. On the flip side, we can manage our budget and finances more conservatively. I have had discussions with board members. They didn't want to see that we would undershoot revenue numbers and then put money in our reserves. Quite frankly, that's how those reserves were built up in the past: if we think we're going to get 9,800 students, we budget for 9,700 to have a cushion. Right now, we're at the mercy of enrollment. Then tuition.
- Member – Do you have some data about this year's enrollment, do you have data from UAB or UA about this?
- VP – I have been speaking anecdotally with my colleagues. At UA, enrollment is up a little, driven by their graduate programs. They have a different model, with 60% out of state. UAB is down a little bit. We're down a little more than they are. Did you ask about the relation to pay increases? At UAB, it was tight, hard for them to get that done. You need to remember we had to adjust from what we planned for last year, by almost a 6% decline.
- Harry – I appreciate your showing us the numbers. Basically, I find it very depressing. We got 7.5% more from the state, and we have \$80M in reserves. Your language tells us how you see it: "it's clear that we don't have to give faculty raises." We have to work hard to do these other things, but why don't you give raises?
- VP – It takes recurring dollars to bring on new recurring expenses. These reserves are not recurring. The Board would not approve us taking these recurring expenses based on non-recurring revenue streams.
- Andrea – Do we budget based upon student headcount, or do we look at student FTE? It looks roughly since around 2012 that we've had an increase in headcount, but not this year as an anomaly. That looks like a 47% increase in credit-hour product. Headcount is bodies, but not the same as FTE. Is headcount the best way?
- VP – It's certainly one way. We have looked at SCH production. This year, we're down 3.5% on headcount, but we're down 6.5% on SCH production. Some years, you can have headcount barely go up, while SCH production goes up. We have access to some databases where we can see who we competed with, who went where. We're trying to figure out the fault. Something is puzzling to us, that loss in SCH production.
- Andrea – In looking at that figure, do we know what the impact of federal legislation is, about students with federal loans, and types of courses they can take for their degrees?

**Commented [6]:** I'm unsure which senator this was, who asked this question. So I just entered "Member" here. (I did the same thing again, further down.) Sorry.

**Commented [7]:** From my notes, it sounded like Dr. Lindquist said "SCH", so that's what I have entered here. But if it should have been something else (perhaps ACH, for academic credit-hour??), then it will need to be corrected here, four times.



- VP – There is certainly some bottlenecking, which courses they can take. It's complex.
- Tim – I have been looking at the most recent 2020 budget book. We have refinanced some of our bonds. It looks like about \$5M of our bonds that we're still paying on. If so, can we refinance those? That creates permanent savings. If we do that, can we then put that toward salaries, not maintenance?
- VP – Our financial advisors are looking at that right now. Your suggestion is a good one. That's where we would be trading recurring savings from these bonds that could go to a salary pool. When we refinanced last time, we did extended term. We wouldn't go further than that.
- Joey – We've missed our enrollment projects for 3 straight years. Are we revising that formula?
- VP – Yes, I've asked them to look at that.
- Joey – You say that we're almost done realigning the budget with expenditures. Does that mean we would still need a few years to build things back up?
- VP – When I say done, I mean that this specific segment of the budget that is about scholarships, will no longer be a drain on the budget.
- Carmen – We may have you come back again.
- VP - Responded that he would be willing to do so.

**Commented [8]:** I didn't capture everything he said - that he's testified in front of legislatures so he is certainly willing to talk to us, something more like that. So I'll suggest this statement, that he would be willing to come back again. But you can 'reject' it if that is not suitable.

- Carmen
  - I will extend the time for the meeting by 10 minutes.
  - I thank the administrators for joining us today.
  - We have some business that we need to pass today; I will suspend our senate order of business, to put those up first.
- Bill 459 – Handbook Chapter 4 Ombudsperson
  - Mike Banish moves to introduce. Joey Taylor seconds.
  - Carmen – You have seen this bill. This bill would change the bylaws, so it had to go back for 30 days. Is there any discussion?
  - No discussion.
  - Vote for the bill, with the changes before you.
  - Bill 459 passes unanimously.
- Policy 01.03.07 – Behavioral Evaluation and Threat Assessment (BETA) Guidelines
  - Carmen – Candice Lanius and the Faculty and Student Development Committee have worked very hard on this policy and the provisos coming from the committee.
  - Mike Banish moves to consider the policy. Jeff Weimer seconds.
  - Is there any discussion? No discussion.
  - Vote for the policy with the provisos from the committee.
  - Passes unanimously.
  - Mike – I want to thank Candice and the committee for going through a pile of documents, to rectify which way to take UAH through these documents.
  - There was applause for Candice and for the Committee.

- Carmen – This brings me to another issue, membership in this body. There have been faculty leaving this body. Candice is no longer eligible to serve as an at-large member from her college, so she is here today as a guest. We need the members of this committee to elect a new chair. Thank you, Candice, for your hard work. I would ask for the committee members to stay and elect a new chair.
  - Member – We have a co-chair to assist, can they become the new chair?
  - Mike – No, the committee must elect a new chair.
  - Carmen – We have other senate business. The acting secretary was asked about the university committee election ballots; the ballots for those elections will wait until the October meeting.
- Bill 464 – Restatement of Support of Faculty Senate Resolutions 16/17-02, 16/17-05, and 17/18-01
  - Mike – I would ask if it is the will of the senate to introduce this bill. Tobias Mendelson seconds.
  - Carmen – This bill asks for the administration to respond to resolutions passed 4-5 years ago. I will show those resolutions on the screen.
  - Carmen – For Bill 410 [passed as FSR 17/18-01], we had a response that said yes but with no further response. So this bill would ask for a response, by asking the administration to do their jobs.
  - Carmen – Is there any further discussion?
  - Vote for the bill.
  - Bill 464 passes unanimously, so it passes 3rd reading.
- Carmen adjourned the meeting at 2:19pm.

**Commented [9]:** Carmen, Mike just spoke up from the back of the room, but I never heard you acknowledge him or give him the floor. Thus, I don't know if his comments should reflect the official record of the senate. If you think they should, then we can "accept" this suggestion; if not, then we can "reject" it.

# UAH BLOODBORNE PATHOGEN CONTROL PLAN

*Effective Date: February 2021*

## Contents

<b>INTRODUCTION.....</b>	<b>2</b>
<b>SCOPE.....</b>	<b>2</b>
<b>RESPONSIBILITY .....</b>	<b>2</b>
<b>BBP EXPOSURE DETERMINATION.....</b>	<b>3</b>
<b>COMPLIANCE METHODOLOGY .....</b>	<b>3</b>
<b>EXPOSURE CONTROL PLAN.....</b>	<b>3</b>
<b>Engineering Controls.....</b>	<b>4</b>
Work Area Restrictions.....	5
<b>Work Practice controls.....</b>	<b>5</b>
I. Housekeeping Precautions.....	6
II. Laundry Precautions .....	9
III. First-Aid Precautions .....	10
<b>Personal Protective Equipment (PPE) .....</b>	<b>10</b>
<b>REGULATED WASTE DISPOSAL: .....</b>	<b>11</b>
<b>HEPATITIS B VACCINATION PROGRAM .....</b>	<b>12</b>
<b>POST BLOODBORNE PATHOGENS EXPOSURE PROCEDURE .....</b>	<b>12</b>
<b>A. Post-Bloodborne Pathogens Exposure Evaluation .....</b>	<b>Error! Bookmark not defined.</b>
B. Procedures for Evaluating the Circumstances of a BBP Exposure Incident.....	14
<b>TRAINING PROGRAM .....</b>	<b>14</b>
<b>RECORDKEEPING PROGRAM .....</b>	<b>14</b>
<b>ATTACHMENT A.....</b>	<b>15</b>

## 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 (<http://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 <http://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 sharps 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:

<http://www.healthsystem.virginia.edu/internet/epinet/>

Supervisors may contact the Office of Environmental Health and Safety 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 BBP and OPIM is in progress.
- Access to the work area shall be restricted to authorized personnel. Only personnel trained on the potential hazards of BBP 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 BBP or OPIM. Supervisors must make sure that employees wash hands as soon as possible after an exposure to BBP 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 the hepatitis B virus. 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 EPA Antimicrobial Information Network at <http://ace.orst.edu/info/nain/>
  - Must be left in contact with contaminated work surfaces, tools, objects, or **OPIM** for at least 10 minutes before cleaning.
- Cleaning wet blood/bodily fluids:
  - Place paper towel or absorbent material over the contaminated fluid to soak up
  - Spray paper towel area with disinfectant
  - Use **red** biohazard bag for contaminated paper towels
  - Spray area with disinfectant solution and wipe dry
- 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 other potentially infectious materials 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 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 OEHS 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 bloodborne pathogens 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 BBP and OPIM
- When you clean toilets and sinks
- When you handle 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, 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 [www.uah.edu/OEHS/bio\\_safety\\_manual.htm](http://www.uah.edu/OEHS/bio_safety_manual.htm).

## 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 an 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 D 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:  
<http://www.uah.edu/legal/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 for employees 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 web site.

**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		

## 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

Faculty Senate Bill No. 464

Restatement of Support of Faculty Senate Resolutions 16/17-02, 16/17-05, and 17/18-01,

**Whereas** UAH attains for a student retention and graduation rate of 75% or better, and

**Whereas** Financial obligations are a concern among students, and their families,

**Whereas** University administrators, faculty, and staff have an obligation to provide the best outcomes for students

**Whereas** The UAH Senate has previously passed Faculty Senate Resolutions 16/17-02, 16/17-05, and 17/18-01 focused towards financial support for students and departments,

**Whereas** either no or limited action has been taken on the previously passed Faculty Senate Resolutions, **Therefore,**

**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.

**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).