

**BYLAWS OF THE FACULTY AFFAIRS COMMITTEE**

**SCHOOL OF PUBLIC HEALTH**

**UNIVERSITY OF ALABAMA AT BIRMINGHAM**

Adopted by the Faculty Assembly April 17, 1995

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Amended October 9, 2015



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The Bylaws of the Faculty Affairs Committee (FAC) of the School of Public Health (SPH) are based upon the description of faculty affairs committees found in the latest edition of the UAB Faculty Handbook and Policies (v Feb, 2014), see Section 2.11 entitled “Procedures for Faculty Appointments, Reappointments, Promotions, and Awards of Tenure.”

Section 2.11.1 (School or Library Committees) describes duties and composition of the committee that shall constitute the FAC of the School of Public Health.

**Role of the Faculty Affairs Committee in the School of Public Health**

The function of the FAC of the SPH is to advise the Dean and the Faculty Assembly. The scope of its duties ordinarily relates to the development and review of the criteria to be met for appointment, promotion and tenure in the various faculty ranks, the conduct of interim faculty reviews, recommendations on faculty sabbatical requests, and the evaluation of proposals for the appointment, promotion and/or tenure of individuals. From time-to-time the FAC will be asked by the Dean or the Faculty Assembly to develop recommendations on other faculty related-matters.

**Role of Department Faculty Affairs Committees in the School of Public Health**

Each Department in the School of Public Health will have its own departmental FAC or Promotion and Tenure Committee. The Department FAC committee consists of all associate and full professors with primary faculty appointments in the department. The scope of duties of the Department FAC is ordinarily limited to: (1) conducting biennial reviews of tenure track non-tenured faculty, in order to inform progress toward tenure and/or promotion and continuation of faculty appointment; and (2) conducting biennial reviews of non-tenure track faculty and 3) evaluating and voting on applications for tenure and/or promotion of department faculty members. Except for these specific designated duties, other duties related to faculty appointment, review, and advancement reside with the SPH FAC as described in the Bylaws.

All faculty members on the department committee are eligible to vote on promotion and/or tenure recommendations for actions at or below their rank/tenure status. The vote of the Department FAC along with its written report is forwarded to the school-wide FAC. Initially the Department FACs will follow the bylaws and guidelines for promotion established for the School

of Public Health and for UAB generally. However, the departments are free to develop more detailed or rigorous guidelines through the process outlined in the UAB Faculty Handbook, so long as departmental guidelines maintain those outlined in the SPH FAC Bylaws and the UAB Faculty Handbook and are consistent with the annual call for tenure and promotion applications from the UAB Provost.

Department FACs do not replace the school-wide FAC review for promotion and/or tenure. Rather, the department level committee has the greater expertise to evaluate the accomplishments of faculty within their respective departments. The role of the SPH FAC then becomes one of assuring that the school-wide criteria for promotion and/or tenure have been consistently applied across the departments and to provide its independent assessment to the Dean.

### **Membership Criteria**

Each SPH department is to elect one member to the FAC. Two additional members are to be appointed by the Dean. In no instance may the number of Dean's appointees exceed the number of elected members. Membership is limited to full-time, UAB faculty with a primary appointment in the SPH. No administrator at or above the level of Department Chair shall serve on the SPH FAC, except as noted below.

Should a department not have a primary faculty member at the rank of Professor with tenure other than the Department Chair, the Chair holding the rank of Professor with tenure may elect to attend the FAC meeting as a voting ad hoc member for decisions regarding appointments of new primary faculty members and tenure and promotion requests at the rank of Professor. Participation of department Chairs on the FAC is limited solely to these specific circumstances.

The Dean is encouraged to use his/her appointments to assure diversity in faculty representation.

### **Time of Service**

Elected members are to serve staggered terms of three years. Should an elected member resign his/her position prior to expiration of the three-year term, his/her Department is to elect a substitute to complete the term. The Department Chair or his/her designee may serve on the FAC for a period that should not exceed six weeks following the date of resignation, until a substitute can be elected.

Appointed members are to serve staggered terms of three years. Should an appointed member resign prior to expiration of his/her term, the Dean will appoint a substitute to complete the

original term of appointment. The Dean may not appoint a member to consecutive terms.

### **Election of a Chair**

The FAC is to elect a Chair from its ranks. The Chair is to serve a two-year term, and may not succeed him/her self. Ordinarily a Chair will be selected from among faculty that have served on the FAC for at least one year. The newly elected Chair should not be based in the same Department of the SPH as the previous Chair. The newly-elected Chair's time of service is to be extended up to two years should it be scheduled to expire before that time.

### **Meetings**

The FAC should meet whenever there is business to be transacted. Frequent meetings may be necessary in the Spring when promotion and tenure applications are customarily reviewed. The Chair may call meetings on extremely short notice only for deliberation of urgent matters.

The quorum necessary for voting is two-thirds of the membership. A department representative may request deferral of an agenda item for vote if he or she is unable to attend the meeting.

### **Importance of Attendance**

If an elected member of the FAC does not attend three consecutive meetings, either in-person or by telephone, the representative should be replaced, following the procedure described in Time of Service, above. If an appointed member does not attend three consecutive meetings, either in-person or by telephone, the Dean shall appoint a replacement for the duration of the term of the appointed member.

### **Formulation and Communication of Recommendations**

For any matter brought before the FAC, the committee's recommendation is to be determined by a secret ballot of all members eligible to vote who are in attendance at the meeting. A simple majority of those voting carries any motion. Voting may be conducted outside of a called meeting only in situations when an informed opinion can be reached through study of documents, without the need for committee deliberation. In this case, votes may be submitted by mail or email. To preserve anonymity of the votes, email and mail votes should be submitted to the staff member supporting the FAC, who will tally the votes and report the results to the FAC Chair.

The Chair will count the ballots and announce the result for votes taken at meetings. The Chair will send the Dean a memorandum stating the FAC's overall recommendation (approval or disapproval) and the reasons for the recommendations. For matters of promotion and tenure the recommendation would usually be in the form of lists of the candidate's strengths and weaknesses in scholarly activity, teaching and service. Once the Dean has sought the advice of the FAC, he/she is obliged to transmit his/her decision on the matter in writing to the SPH FAC Chairperson.

### **Criteria for Promotion and Tenure**

The criteria for appointment and tenure are contained in the UAB Faculty Handbook and Policies (Sections 2.5 Types of Faculty Appointments, 2.6, Faculty Ranks, and 2.10 Specific Criteria for Appointment, Promotion and Award of Tenure, 2.12 Initial Appointments of Faculty, 2.13 Reappointment and Non-Reappointment of Non-tenured Faculty). SPH procedures for reviewing promotion and tenure applications are outlined in the FAC Operating Procedures, included as Appendix A of this document. Additional detail on review criteria are outlined in School Guidelines for Promotion and Tenure, included as Appendix B of this document.

Per the UAB Faculty Handbook Section 2.15.4, the tenure-earning period at the SPH is at maximum seven years. The count of years for the tenure-earning period begins on the October 1<sup>st</sup> following initial appointment. If tenure has not been awarded prior to the sixth year of appointment, the seventh year will be the terminal year of appointment. Only if there is substantial new evidence in support of a candidacy for tenure may a candidate be re-considered in the terminal year. The tenure-earning period begins with the first tenure track appointment at UAB, even if this initial appointment is in a school other than the SPH. Information on procedures for temporarily stopping the count of a tenure-earning period is found in Section 2.15.4 and 2.15.5 of the UAB Faculty Handbook.

### **Application of Promotion Criteria to Non-Tenure Track Faculty**

The faculty of the UAB SPH are individuals who contribute to the mission of the school - the development, teaching and application of knowledge- through a range of teaching, scholarship, practice and service activities. Faculty appointments are designated as tenure track or non-tenure track at the time of initial recruitment. Tenure track appointments always involve responsibilities in the teaching, scholarship and service arenas, although these may not have equal emphasis. As noted in the UAB Faculty Handbook (Section 2.5.5), non-tenure-earning appointments "may be conferred on full-time or part-time faculty whose responsibilities may be less broad than tenure-earning or tenured faculty and whose appointments may be limited in time." At the SPH, non-tenure track appointments responsibilities for teaching, scholarship and service are determined by the departmental letter of appointment. Non-tenure track

appointments may carry the designation of (1) Research, (2) Teaching, or (3) Public Health Practice depending on the primary activity of the faculty member as delineated in their letter of appointment. Non-tenure track appointments may have secondary activities in the areas of research, teaching or public health practice and these responsibilities would be defined in the letter of appointment. While non-tenure track faculty are encouraged to engage in appropriate professional service activities, achievement of excellence in service is not expected for promotion to higher ranks for non-tenure track appointments.

All faculty members, regardless of appointment type, are subject to the Faculty Rights and Responsibilities, as stated in Section 2.2 of the UAB Faculty Handbook. Positions that do not require commitment to continuing professional development, assumption of an obligation for active involvement in teaching, scholarship, and/or service as defined by the nature of the appointment, and acceptance of the responsibilities of a faculty member, including involvement in governance, selection of Chairs, Deans, Provost and President, and determination of student admission and graduation criteria and course and program content (as stated in Section 2.2 of the UAB Faculty Handbook), should be designated as research associates or other staff rather than faculty positions.

Letters of appointment between Department Chairs and non-tenure track faculty members specify the balance of activities expected among scholarship, teaching or public health practice. These appointment letters may be amended upon mutual agreement to reflect the balance of activities that best furthers the faculty members' career and meets the current needs of the department. However, letters of appointment cannot be used to alter the fundamental nature of the faculty position.

As indicated in the UAB Faculty Handbook Section 2.5 – 2.6, both tenure track and non-tenure track faculty may be appointed at the Assistant Professor, Associate Professor or Full Professor rank, and may apply for promotion to higher ranks in accord with their professional accomplishments. Faculty with appointments at the Instructor level are always non-tenure track appointments but retain similar UAB faculty member rights.

### **SPH Biennial Faculty Review**

In accordance with Sections 2.15.7 and 2.13.2 of the UAB Faculty Handbook, the Departmental FAC will conduct not less than biennial reviews of the scholarly activities of all primary faculty members without tenure in their respective departments. These biennial reviews are generally conducted in the Fall term and a faculty members first biennial review for both tenure and non-tenure track faculty would take place at the end of the second year of their appointment using the tenure-track designated Oct. 1 timeline.

The purpose of the review is to provide guidance on the amount, quality and mix of research,

teaching, and service expected by the school of its faculty members. This review achieves two aims. First, it offers assurance to a faculty member that he/she is making satisfactory progress toward the next career milestone: promotion and/or tenure. A series of satisfactory reviews would provide assurance that promotion or tenure would ordinarily be achieved.<sup>1</sup> Second, if the current quantity, quality or mix of activities is unlikely to lead to promotion and/or tenure, the review can provide direction for corrective action by the faculty member. If the deficiencies outlined in a biennial review do not appear to result in movement toward satisfactory performance in the next review, progress toward tenure/promotion will be considered unsatisfactory. It is expected that a series of unsatisfactory reviews will lead to a recommendation for denial of appointment, promotion and/or tenure.

Non-tenure track faculty will similarly be evaluated for their activities according to expectations outlined in their letters of appointment in their areas of specialization, i.e., teaching, research and/or public health practice and any secondary responsibilities as detailed in their letters of appointment. Review packets must include documentation of the specialty areas that apply to the faculty member at this review. If new responsibilities have been added, documentation should indicate the time period during which these responsibilities apply.

The Departmental FAC will apply the same criteria to the review as is applied for re-appointment, promotion and/or tenure. However, it must be recognized that the biennial report does not contain the same information as is required for re-appointment, promotion and tenure. For example, the biennial report does not include evaluation letters. Therefore, the faculty member under review should not interpret the review as a final evaluation for promotion and/or tenure. The review criteria are described in the UAB Faculty Handbook and the School Guidelines for Promotion and Tenure (Appendix B).

The Departmental FAC provides its vote and written evaluation to the Chair. The Chair prepares his/her own recommendation, and both are forwarded to the Dean. The Dean then either issues a letter of termination, effective in one year (UAB Faculty Handbook Section 2.13.3), or a letter indicating that normal progress toward promotion has been observed.

A faculty member may request an evaluation by the SPH FAC as part of this process. This review would take place after the Departmental evaluation and should be arranged at the time of the initiation of the Departmental review.

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<sup>1</sup>Reappointment, promotion and/or tenure can be denied for reasons unrelated to individual performance. These reasons may include lack of resources or the re-direction of the School's priorities away from the specialization of the individual faculty member. While a faculty member should be advised of these eventualities by his/her Chairperson or by the Dean, the issues are not addressed by the interim review process.



### **Approval and Revision of the Faculty Affairs Committee Bylaws**

The FAC shall review the Bylaws on a biennial basis. The FAC Chair will direct the committee to review the document and propose revisions. Any proposed revision, which receives a favorable vote (simple majority) by the FAC, will be forwarded to the faculty for its action at the level of the Faculty Assembly. The Bylaws of the FAC are formulated and amended by the faculty and approved by the Dean and Provost.

The Operating Procedures and Guidelines for Promotion and Tenure included as Appendices A and B of this document may be amended as needed by a vote of the SPH FAC, subject to approval by the Dean.

**APPENDIX A**  
**Operating Procedures**

**I. Biennial Faculty Review**

**A. Review Process for the Biennial Report**

In the appropriate year, a faculty member must submit a report that summarizes his/her accomplishments in the two academic years just concluded. In September of the appropriate year, the Chair of the Departmental FAC will contact faculty to request submission of the required interim reports. The Departmental FAC will review interim reports during a two-month period.

The Departmental FAC will assign each report to two of its members at or above the rank of the faculty member being reviewed. If there are not an adequate number of faculty at or above the rank of the faculty member being reviewed, the Department Chair in consultation with the Departmental FAC may request temporary Departmental FAC appointment and reviews from other appropriate faculty within the School. The reviewers will each prepare a one-page memorandum which: (1) identifies the strengths and weaknesses of the faculty member's activities; (2) categorizes progress as satisfactory or unsatisfactory; and, (3) recommends corrective actions. The full Departmental FAC will then discuss the report and memoranda written by the two members. Discussion of the merits of each report will be open to all members of the Departmental FAC, but voting of "satisfactory" or "unsatisfactory" for the interim review will be restricted to committee members who are at or above the rank of the faculty member being reviewed. The Departmental FAC will prepare a summary evaluation, which will be forwarded to the Chair. The report of the committee will not reveal the vote but will identify the substance or any significant disagreement among the committee members. The Chair will review and forward the materials to the Dean with a summary statement.

The Dean will review the materials and the Departmental FAC evaluation summary. The report will then be forwarded to the faculty member through the appropriate Chairperson.

**B. Organization of the Biennial Review Packet**

The packet should be organized under appropriate headings: scholarship, teaching, and service for tenure track faculty and research/scholarship, teaching

and/or public health practice for non-tenure track faculty. The packet should include a written summary under each category that describes the faculty member's approach, accomplishments and goals. The scholarship/research section would generally be expected to include a listing of published and in-press papers, books and reports during the period, and a listing of papers and abstracts presented. This section should also include a description of funded research or public health practice scholarly activities. Teaching would generally include enumeration of the courses taught, a summary of student evaluations (with number of students), students advised, doctoral committees chaired, accomplishments of students who have been mentored by the faculty member, and activities related to curriculum design and development, management of graduate programs, etc. Service could include a description of study section memberships, editorships or reviews for journals, memberships on international, national, regional, state or local committees, task force activities, presentations to non-academic groups, committee work within the university, etc. Duties such as department or center administration, major administrative activities on grants, etc., are also considered service. This list is intended to be suggestive rather than prescriptive and may be modified by each faculty member.

In addition to this descriptive material, materials submitted for biennial reviews should include:

1. Current Curriculum Vitae;
2. A listing of submitted research grants, designated as funded, not funded or pending.
3. Copy of faculty activity reports (FARs) for the last two years,;
4. Copy of the last biennial review conveyed to the faculty member by the Departmental or SPH FAC;
5. Copy of written advice from department Chair about faculty member's progress in annual reviews, as required in the UAB Faculty Handbook (Section 2.14);
6. Copy of teaching evaluations;

The department Chair should prepare a memo summarizing his/her assessment of the progress that the faculty member has made toward her/his next career milestone and include this with the material submitted to the Dean. In the case of non-tenure-track faculty, the Chair should identify which areas (teaching, research and/or public health practice) are applicable for the time period being reviewed per the letter of appointment.

The requested format for the packet will be specified in the departmental solicitation letter.

## II. Promotion and Tenure

### A. Guidelines for Promotion

The Guidelines for promotion to Associate Professor and Full Professor are explained in the UAB Faculty Handbook (Sections 2.6 Faculty Ranks, 2.10 Specific Criteria for Appointment, Promotion and Award of Tenure, 2.13 Reappointment and Non-Reappointment of Non-tenured Faculty). These guidelines will be adhered to by the Departmental and SPH FACs. Guidelines apply to both tenure track and non-tenure track faculty. However, non-tenure track faculty will be evaluated for promotion based on the responsibilities documented in their letter of appointment.

### B. Organization of Packet

Promotion requests are typically solicited in the late Fall, with a deadline for receipt of the packets for review at the beginning of March. This allows sufficient time for salary increases that may accompany promotions to be included in the University budget cycle. However, the SPH FAC is not precluded from considering promotion requests at other times of the year.

1. The SPH FAC Chair will prepare and send a School-wide call for tenure and promotion applications each year (typically in late Fall) upon receipt of the Provost's annual memorandum that states the specific instructions for the application materials required by the Provost's Office and any additional requirements specific to the SPH review process. The Provost's instructions may change the required materials and packet organization from year to year. Unless otherwise indicated in the annual memorandum from the SPH FAC Chair, the following information is to be included in packets for tenure and promotion:
  - a. Promotion and Tenure Action Summary Form (See Section VII of Appendix B)
  - b. Academic Personnel Recommendation Form and letters from the Dean or Director, Chair and the relevant school and department

committees (to be completed by Dean's Office after FAC review and recommendation - see Section VII of Appendix B);

- c. Letter from Department Chair detailing his or her recommendation for tenure and/or promotion.
- d. Review summary from Department FAC
- d. Current curriculum vitae;
- e. Written statement of the faculty member describing accomplishments in teaching and teaching evaluation materials;
- f. Written statement of the faculty member describing accomplishments in scholarship and copies of publications and other evidence of scholarly productivity;
- g. Written statement of the faculty member describing accomplishments in service and service activities (internal and external to the University);
- h. Letters of review from references external to UAB;
- i. Any other materials the faculty member wishes to submit in support of the promotion or tenure request.

2. Letters of Review.

Letters of review provide the FAC with both an external assessment of the candidate's research, teaching, and service accomplishments and potential, and an internal assessment of the candidate as a colleague and/or collaborator. The required form letters requesting external and internal review of promotion are contained in Appendix B. It is important that the standard form letter be used so that external letters are comparable across reviewers for a single candidate and across candidates evaluated by the FACs.

- a. External letters. The SPH FAC requests three external letters. These letters should be solicited from established persons in the candidate's field of expertise, who are able to judge the current body of scholarly work and the potential for future contributions by the candidate. The FAC recommends that letters be solicited from experts who are not former colleagues or current collaborators with the faculty member.

Ordinarily the candidate and his or her Chair will each identify up to five individuals who are not members of the UAB faculty or staff. The candidate may veto up to three of the names recommended by the Chair, and similarly, the Chair may veto up

to three of the names provided by the candidate.

- b. Internal letters. The number of internal letters is left to the discretion of the candidate and his or her Chair. The Chairs of all departments extending secondary faculty appointments to the candidate are to be asked to provide letters. The candidate and the Chair may each nominate an unlimited number of internal reviewers, and the candidate and the Chair may each veto up to three internal reviewers.
- c. Solicitation of letters. The departmental Chair shall request letters of recommendation from the external and internal reviewers. The packet prepared for the FAC shall include a list of the persons asked to provide reviews signed by both the candidate and the Chair. The review letters are to be addressed to the departmental Chair.

The candidate has a right to see all letters of review. However, the candidate may waive this right, and the letter soliciting a review shall indicate if the candidate has waived that right.

- 3. When the request for promotions packets is sent to the department by the FAC Chair, the letter should stress the need for strict adherence by the candidate to the ordering of the topics as covered in Item 1 of this Section B. The department Chair submitting the packet should be very clear on the contributions of the candidate to teaching, research, public health practice and service as appropriate.

#### C. Promotion Requests Not Initiated by Departmental Chairs

The departmental Chair normally shall initiate a request for promotion or tenure. In circumstances where this is not done and a faculty member considers that an evaluation of his or her academic and professional qualifications and achievements is appropriate, the faculty member can initiate the request for promotion by collecting the information in the manner prescribed by this document and submitting it to the SPH FAC for consideration. A letter shall be requested by the SPH FAC from the appropriate departmental Chair requesting his or her comments on the self-initiated nomination. The Associate Dean for Academic Affairs will solicit external review letters from individuals with appropriate expertise, as described above. Form letters included in

Appendix B should be used for this solicitation.

The Dean has responsibility to propose to the SPH FAC nominations for promotion of departmental Chairs and to solicit external review letters, using the procedure indicated above.

D. Absence of Candidate's Departmental FAC Member

If a SPH FAC member cannot be present for a meeting at which promotions are discussed, then written opinions about candidates (not interpreted or counted as votes) should be provided to the FAC. However, if a candidate from the department of the absent FAC member is put forth for promotion, then the FAC will reschedule a meeting to discuss the candidate when the FAC member can be present.

**III. Guidelines For Recruitment And Appointment of New Faculty**

Requests for permission to recruit faculty are made by the departmental Chair to the Dean by submitting a completed "Application for Approval of Recruitment for Tenure-earning Faculty Positions" form. Requests to recruit non-tenure track faculty are made in writing by the Department Chair to the Dean and shall describe the teaching, scholarship and service activities of the position. All positions shall be presented to the School's Executive Committee for review. After approval to recruit is received, a search is conducted in accordance with the UAB School of Public Health Policies and Procedures for Faculty Search Committees and all University policies regarding equal opportunity and affirmative action.

Appointments are made according to Section 2.12 (Initial Appointment of Faculty) of the UAB Faculty Handbook. Documentation describing qualifications and achievements of the candidate (rank of Assistant Professor and above) will be submitted to the SPH FAC for evaluation by the Department Chair through the Dean. The SPH FAC will apply the expectations for faculty rank that are in effect for current faculty to the request for appointment of new faculty. The SPH FAC shall report its recommendation to the Dean. All appointments are subject to the final approval of the Provost and the President. In special circumstances (i.e., tenure, administrative appointments, compensation outside salary range for the rank), approval has to be obtained from the Board of Trustees and the Chancellor's office. The SPH FAC will provide recommendations on rank at any point in the candidate recruiting process and will provide recommendations on rank for more than one candidate for a faculty position, if so requested.

In order to fairly evaluate a candidate's qualifications for appointment at a given rank,

the SPH FAC requires the following information:

1. Letter from the Chair requesting the review and describing the nature of the faculty position to be filled (requested rank, tenure or non-tenure track, and expectations for the candidate if the position is a non-tenure track opening).
2. Candidate curriculum vita.
3. External letters of recommendation for the candidate.

If rank above the Assistant Professor level and/or tenured status is requested, evaluations of the candidate's teaching record should be included (if teaching is part of the expectations of the position). In addition, letters of recommendation included in the packets should fully evaluate the candidate on all areas of excellence expected for the requested rank (see UAB Handbook, Section 2.6). Requests for tenured status with initial faculty appointment will typically not be subject to review by mail ballot of the SPH FAC, but will require a called meeting and the presence of the departmental FAC representative, as in promotion and tenure reviews of current faculty.

For non-tenure-earning Adjunct, Secondary and Visiting Faculty appointments, the Cover Sheet (included at end of appendices) is to be completed by the department and submitted with the candidate's CV and, as applicable, evidence of teaching effectiveness.

#### **IV. Guidelines concerning SPH FAC Membership and Chair Election**

Terms of membership on the SPH FAC expire annually at the end of May. To promote a smooth transition from year to year, election of a Chair of the FAC will ordinarily take place at the final meeting of the academic year prior to May 31<sup>st</sup> when committee membership changes. Prior to the end of his/her term, the outgoing FAC Chair will notify the Department Chairs for FAC members whose terms are expiring so that election of a new departmental representative should take place. Once the new members are known, the Dean will be informed of the incoming FAC membership so that he/she can make the Dean's appointments to promote diversity on the FAC.



## **APPENDIX B**

### **GUIDELINES AND CRITERIA FOR APPOINTMENT, PROMOTION AND TENURE FOR THE FACULTY IN THE SCHOOL OF PUBLIC HEALTH**

- I. Guidelines of the SPH Faculty Affairs Committee (FAC) for Appointment, Promotion and Award of Tenure
  - A. General Considerations
  - B. Specific Description and Examples of Faculty Activities to be considered for Appointment, Promotion and Tenure
    1. Teaching
    2. Scholarship
      - a. Original Research Emphasis
      - b. Scholarly Public Health Practice Emphasis
    3. Service
- II. Procedure to Be Followed By Departmental Chair for Promotion
  - A. UAB Appointment Action Summary Form (online)
  - B. Faculty Data form for requested rank/tenure status to be effective the following October 1<sup>st</sup> (available online).
  - C. Form Letters Requesting External and Internal Review of Promotion (attached).

## **I. Guidelines Of The Faculty Affairs Committee For Appointment, Promotion and Award Of Tenure**

Specific instructions are issued annually by the Provost's Office. The School's guidelines for the preparation and submission of materials will comply with these instructions.

### **A. General Considerations**

A faculty appointment, promotion and/or award of tenure is based on an assessment of three areas: teaching, scholarship (original research and/or public health practice emphasis), and service. When evaluating faculty performance in these areas, the SPH FAC will seek input from knowledgeable sources within and outside the SPH. While individual achievements are to be considered, it is also important to consider the program priorities of the SPH.

The SPH guidelines will be given to current faculty and to each new faculty member at the time of appointment. The Dean of the SPH and the Provost of UAB have approved these Guidelines in writing.

### **B. Specific Description of Faculty Activities to be Considered for Appointment, Promotion and Tenure**

#### **1. Teaching**

Teaching for the purpose of this document involves the effective imparting of knowledge on a subject to individuals who have requested this information, for example by registering for a class. Teaching also includes guiding students as they develop new knowledge themselves. Activities that involve organizing the circumstances for this transmission, for example, participating in training grants or creating a new curriculum for a degree program are also considered teaching, as are advising and mentoring students on an individual basis. Effectiveness in teaching can be demonstrated through the evaluation of students and peers and through the accomplishments of mentored students. In this section, please describe teaching activities. Eight possible categories are listed, and the documentation required for the first category is stipulated. Not every candidate will have activities in all eight categories, and some candidates may need to define additional categories when describing their activities. If one has no significant activity in one or more of the

categories listed below, simply omit the category. If one reports activities in additional (self-defined) categories, please supply adequate documentation.

- a. Teaching in a classroom or laboratory setting. For each course/laboratory presented:
  - (1) Provide the course number and title (if outside SPH, specify school), the term it was taught or the beginning and ending calendar dates and the number of students;
  - (2) If the course was team-taught or used guest lecturers, list the other team members or guest lecturers and the percentage of total effort that you provided;
  - (3) State the status of participants for which the course was designed (SPH students, other professional students, graduate students, undergraduate students, postdoctoral fellows, residents, other – describe);
  - (4) Submit the course syllabus,
  - (7) Provide copies of official student evaluations;
  - (8) Provide written summary by Department Chair or peers (internal and/or external to UAB School of Public Health) of instructional design skills, course content and course management.
  
- b. Directing or co-directing a regularly scheduled seminar or continuing education course. Documentation could include some of the following information:
  - (1) title, objective, number of contact hours and the number of participants;
  - (2) if the seminar/course was team-taught, a list of the other team members and the percentage of the total effort that you provided;
  - (3) status of the participants for which the seminar/course was designed (SPH students, other professional students, graduated school students, undergraduate students, postdoctoral fellows, residents, other – describe);
  - (4) seminar/course syllabus,
  - (5) written summary of participant evaluations.
  
- c. Serving as principal investigator on a training grant.

- d. Guiding students' independent study (major advisor), thesis or dissertation (committee chairperson). Documentation could include some of the following information:
  - (1) name of student;
  - (2) nature and title of work (independent study, thesis, dissertation);
  - (3) outcome (if complete) or else progress to date;
  - (4) evidence of impact on student (accomplishments, employment record, etc.).
  
- e. Supervising postdoctoral fellows. Documentation could include some of the following information:
  - (1) name of fellow;
  - (2) highest graduate degree(s);
  - (3) dates of present appointment;
  - (4) description of training program and documentation of fellow's productivity.
  
- f. Developing a curriculum including new courses and/or preparation of special materials (written, audio/visual, other multi-media based products). Documentation could include some of the following information:
  - (1) objectives, scope and current status of the curriculum/course (if this was a team effort, describe your role);
  - (2) description of instructional methods and materials that you developed;
  - (3) methods of evaluation (how will it be determined whether the curriculum/course is meeting the stated objectives?).
  
- g. Participating as a member of student thesis and dissertation committees (masters or doctoral level). Documentation could include some of the following information:
  - (1) student name;
  - (2) name of chairperson;
  - (3) degree program.
  
- h. Advising students in the SPH, students enrolled elsewhere at UAB or students enrolled in educational programs not affiliated with UAB. Documentation could include the following information:

- (1) student name;
- (2) nature of your role;
- (3) institution and program in which student was enrolled.

- i. Facilitating faculty-teaching activities. (For example, did you provide current content material for interdisciplinary courses, mentor junior faculty, review education-related proposals?)

Feel free to describe and document any activity that does not fit within the above categories.

## 2. Scholarship

Scholarship for the purpose of this document is to be considered a diligent and systematic inquiry into a subject, which defines or revises theories, contributes to existing bodies of knowledge, or advances the state-of-the art of public health practice. Public health practice scholarship is distinguished from the performance of public health service, consultation or technical assistance in so far that it contributes to the body of knowledge by advancing public health practice theory or methodology and disseminates that knowledge in a scholarly manner that would stand up to peer review. A faculty member can emphasize original research, emphasize scholarly public health practice, or maintain an appropriate balance between the two. Original research and scholarly public health practice both require originality of thinking and effective dissemination of knowledge through scholarly publications, communications and other appropriate channels. It is incumbent upon the faculty member to establish the quality or impact of their scholarly activity.

### a. Original research emphasis

Evidence of excellence in research may include but is not limited to the following:

#### (1) Publications

It is important to stress that the quality of the publications and evidence that these have influenced the direction of research in the investigator's field (citations, published commentaries emphasizing the significance of the research, etc.) are more important than quantity.

However, a consistent history of scholarly products provides support for a nomination. If a paper has been ACCEPTED for publication but not yet published, it may also be submitted.

(a) Peer-reviewed journal publications

(b) All other publications

One may submit other publications representing your serious and scholarly evaluation and conclusions regarding existing theories and/or procedures. Include textbooks, books, monographs, book chapters, technical reports, etc.

(2) Sponsored Research (grants, contracts, fellowships and other vehicles)

The awarding of grants, contract, fellowships, etc. to support the conduct of original research provides some evidence of the scholarly capabilities of an individual. A grant activity report should be submitted covering at least the past five years and should include experience at previous institutions if the candidate has been at UAB less than five years.

(3) Dissemination of Original Research

A paper presented at a scholarly meeting or conference can be submitted for evaluation. Special note should be made of invited presentations at professional meetings, national or international advisory group meetings, congressional hearings or gatherings of similar organizations. Other mechanisms of dissemination including multi-media products will also be considered.

(4) Honors and Scholarly Recognition

(5) Other Data

If necessary, list any additional factors that have had a significant impact on one's research endeavors. An example might be the pursuit of further training such as that required when shifting from one principal scholarly focus to another.

b. Scholarly Public Health Practice Emphasis

Evidence of excellence in public health practice scholarship, which advances the state-of-the-knowledge, may include but is not limited to the following:

(1) Publications

Publications independently judged by peers and public health practitioners to be scholarly. It is important to stress that the quality of the publications and evidence that the publications have advanced the state-of-the-knowledge and influenced the future direction of developments in public health practice, policies and/or programs are more important than quantity. However, a consistent history of products that are scholarly provides support for a nomination.

(a) Peer-reviewed journal publications submitted for FAC review. If a paper has been ACCEPTED for publication but not yet published, it may also be submitted for consideration. The FAC judges the influence of the public health practice scholarship by the extent to which the published scholarly products have been recognized (referenced) and used by other public health practitioners beyond the original practice site and participants.)

(b) Technical reports submitted for FAC review. (Technical reports of a scholarly nature, i.e., not progress reports but summary reports that advance public health practice theory or methodology and would be expected to be judged as scholarly and acceptable for publication or public dissemination by peer-review, may be submitted. Evidence of scholarship would include recognition in the literature (citations), and independent adoption, implementation or usage by other public health practitioners or agencies.

(c) All other publications submitted for SPH FAC

review. (Other publications or products representing scholarly work that advance public health practice theory or methodology may be submitted for consideration. These include textbooks, books, monographs, book chapters, project reports, etc. Published critiques of these, e.g., book reviews, and other information on use, e.g., sales reports, schools where used, etc., may also be submitted.)

(2) Sponsored Research (grants, contracts, fellowships and other vehicles)

The awarding of grants and contracts for the purpose of funding public health practice research activities provides some evidence of the scholarly capabilities of an individual and the extent to which their public health practice activities have advanced the state-of-the-knowledge.

(3) Dissemination of Public Health Practice Knowledge and Experience

A paper presented at a scholarly meeting or conference may be submitted for evaluation. Special note should be made of invited presentations at professional meetings, national or international advisory group meetings, congressional hearings, or gatherings of similar organizations. Other mechanisms of dissemination including multi-media based products will also be considered.

(4) Honors and Scholarly Recognition

(5) Other Data

If necessary, list any additional factors that have had a significant impact on research endeavors. An example might be the pursuit of further training such as that required when shifting from one principal scholarly focus to another.

(6) External Reviewer Assessment

To make a case of public health practice scholarship, a



faculty member may request former and current contracting agency officials as additional external reviewers. The faculty member should provide a complete list of former and current contracts from which the department Chair should participate in the selection of external reviewers that will provide an independent and balanced perspective. The current or former working relationship between the faculty and these reviewers must be clearly stated, along with any potential conflicts of interest that might influence the reviewer. Public health practitioners and practice-oriented academics who have not worked with the faculty member should be equally included on the final list of selected external reviewers in order to obtain independent perspectives of the scholarship, quality and influence of the public health practice activities.

The Chairperson of the department should explicitly solicit an evaluation of the scholarship of technical reports when requesting letters of review. Representative technical reports should be provided to the reviewers for this assessment.

### 3. Service

Service, for the purpose of this document, is professional contributions made by faculty to the profession, the university and the community-at-large (local, state, national or international groups, both public and private), that fall outside of the scope of either teaching or scholarship.

#### a. Service to the profession

Activities include, but are not limited to the following:

- (1) participating in and especially providing leadership for professional organizations (e.g., American Public Health Association);
- (2) acting in an editorial capacity for professional journals;
- (3) reviewing professional books, reviewing manuscripts for professional journals;
- (4) serving on national or international advisory or policy-

- making boards, committees, commissions, etc.;
    - (5) serving on study sections or site-visit committees or reviewing grant and contract proposals;
    - (6) giving invited presentations;
    - (7) chairing scientific meetings, sessions, etc.;
    - (8) participating on or consulting with accrediting and other educational review boards.
  - b. Service within UAB  
Activities include, but are not limited to, the following:
    - (1) administrative roles for the department, SPH, center and/or UAB;
    - (2) membership on, and especially leadership of, committees, work groups, task forces, etc. of the department, center and/or UAB (provide evidence of productivity or contributions while serving in these capacities);
    - (3) other documented contributions to the improvement of student and faculty life.
  - c. Professional service outside UAB to the community-at-large  
In order to be considered for appointment, promotion and award of tenure, service to the community-at-large must relate to the basic mission of UAB and must capitalize on the faculty member's special professional expertise. Such service includes, but is not limited to, the following:
    - (1) membership on boards and advisory committees in the community at-large in a professional capacity (e.g., serving as a member of the county health board);
    - (2) lectures in the community-at-large requiring your professional expertise;
    - (3) education or technical assistance to the community-at-large.

## II. Procedure To Be Followed By Departmental Chair for Promotion Requests

### A. Promotion Deadline

Proposals for promotion must be submitted to the SPH FAC by the 1<sup>st</sup> Friday in March. The FAC's recommendations are due to the Dean by April 1<sup>st</sup>, and the Dean, in turn, must have time to review the recommendations and forward his/her own to the Provost. Promotions become effective on October 1<sup>st</sup>.

B. Specific Documentation Required

Documentation conforming to the format outlined in Appendix A, Section II.B. must be submitted with each request for promotion.

III. Forms

- A. UAB Appointment Action Summary Form (available online)
- B. Faculty Data form for requested rank/tenure status to be effective the following October 1<sup>st</sup> (available online).
- C. Form Letters Requesting External and Internal Review of Promotion (available online).

## Procedures and Forms to Solicit Letters from External Reviewers

The department Chair or other responsible administrator overseeing the tenure and/or promotion request should retain copies of all correspondence involved in soliciting the 3 required external letters, including the proposed (per items 1a & 1b) and final (item 1c) reviewer lists and copies of the letters sent to external reviewers (item 2). Electronically submitted pdf versions of external reviewer letters are acceptable. The date of receipt is to be stamped on each letter of review. Letters are to be included in the binder that goes to the Provost's office under the **External Reviewer Letters** tab. Internal letters, which are not required by the Provost's office, are to be included under the relevant tab (teaching, research, or service).

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1. Selection of reviewers by the Chair (or other responsible administrator) and faculty candidate:
  - a. List of External Reviewers Proposed by the Chair (Up to 5 may be proposed by the Chair and 3 may be vetoed by faculty candidate.)
  - b. List of External Reviewers Proposed by Faculty Candidate (Up to 5 may be proposed by faculty candidate and 3 may be vetoed by the Chair.)
  - c. Final List of 3 External Reviewers from whom letters of review are requested by the Chair
2. The Chair sends the appropriate form letter to each External Reviewer requesting the review, along with the fully prepared T&P package and any other relevant documents (e.g., reprints). Use the form letter included in SPH Guidelines (see following). The letter should indicate whether faculty member has waived his or her right to see letters. Copies of letters sent by the Chair to the External Reviewers should be retained by the Chair.
3. For each requested letter, indicate when it was received. **All received letters must be included in the packet when submitted by [DATE] and will not be added later. Letters may be submitted electronically in pdf format.**

## LETTER FOR PROMOTION TO ASSOCIATE PROFESSOR

*Phrases in italics are modified, as appropriate, by the Department Chair or other Administrator providing oversight depending on whether the appointment request involves promotion and tenure or promotion only to Associate Professor.*

Dear Professor \_\_\_\_\_:

*John Doe* is currently an Assistant Professor in a tenure-earning position [or] in a non-tenure-earning position that involves research, teaching, and/or service (specify according to the terms of the faculty appointment) in the UAB School of Public Health. Dr. Doe is being considered for promotion to the rank of Associate Professor *with tenure*. The School would greatly appreciate your assistance in evaluating this faculty member.

Associate Professor is a rank that usually requires service as an Assistant Professor for at least three years at UAB or equivalent service elsewhere. The criteria for promotion to Associate Professor at this university require that: “The individual holding this rank should have demonstrated the ability to make significant contributions in academic duties. Such contributions should be of high quality and should be nationally recognized. Further, the individual should show promise of continued professional growth.” (UAB Faculty Handbook and Policies, Section 2.6.3)

[*INCLUDE IF REQUEST INVOLVES TENURE*: Tenure at this university may only be conferred on appointees holding the ranks of Associate Professor or Professor (Section 2.15.3). Further, “the awarding of tenure is a serious and significant step for both the faculty member and UAB. It is not awarded merely on the basis of time in service. Tenure is awarded to individual faculty members upon evidence of the capacity and likelihood for continued intellectual, scholarly, and professional vitality; upon evidence of the ability and willingness to perform assigned duties; and upon evidence of a sense of responsibility and dedication to make the continuing exemplary performance of duties a reasonable expectation. Tenure at UAB should be regarded as a most valuable possession, signifying a long-term commitment of resources by UAB, matched by the sincere commitment by the faculty member to continued professional growth and achievement.” (Section 2.15)]

The Guidelines for Tenure and Promotion at the UAB School of Public Health define scholarship as “a diligent and systematic inquiry into a subject, which defines or revises theories, contributes to existing bodies of knowledge, or advances the state-of-the art of public health practice. Public health practice scholarship is distinguished from the performance of public health service, consultation or technical assistance in so far that it contributes to the body of

knowledge by advancing public health practice theory or methodology and disseminates that knowledge in a scholarly manner that would stand up to peer review. A faculty member can emphasize original research, emphasize scholarly public health practice, or maintain an appropriate balance between the two. Original research and scholarly public health practice both require originality of thinking and effective dissemination of knowledge through scholarly publications, communications and other appropriate channels.” The Guidelines define teaching as “the effective imparting of knowledge on a subject to individuals who have requested this information, for example by registering for a class. Teaching also includes guiding students as they develop new knowledge themselves. Activities that involve organizing the circumstances for this transmission, for example, participating in training grants or creating a new curriculum for a degree program is also considered teaching, as are advising and mentoring students on an individual basis.” The Guidelines define service as professional contributions made by faculty to the profession, the university and the community-at-large (local, state, national or international groups, both public and private), that fall outside of the scope of either teaching or scholarship.

The School of Public Health Faculty Affairs Committee would like your frank appraisal of *Dr. Doe’s* scholarship, teaching and service accomplishments. We are also are interested in your opinion about whether someone with this record would be granted promotion *or tenure* at your institution. Please summarize your background and relationship to the candidate (if any).

Dr. Doe has waived *his/her* right to see the evaluations and the evaluation you provide will be not available to *him/her*.

**OR**

Dr. Doe has not waived *his/her* right to see the evaluations and as such the evaluation you provide will be available to *him/her*.

Enclosed is a copy of the promotion package that has been prepared for the Committee. If you feel you are unable to evaluate *Dr. Doe’s* work, please let me know as soon as possible. I would like to receive your evaluation no later *than {DATE}*. Thank you for your help with this important decision.

Sincerely,

Name

Title

Enclosure

## LETTER FOR PROMOTION TO PROFESSOR

*Phrases in italics are modified, as appropriate, by the Department Chair or other Administrator providing oversight depending on whether the appointment request involves promotion and tenure or promotion only to Professor. Modify and use for tenure only requests at the Professor level.*

Dear Professor \_\_\_\_\_:

*Jane Doe is currently an Associate Professor with tenure [or] in a tenure-earning position [or] in a non-tenure-earning position that involves research, teaching, and/or service (specify according to the terms of the faculty appointment) in the UAB School of Public Health. Dr. Doe is being considered for promotion to the rank of Professor with tenure. The School would greatly appreciate your assistance in evaluating this faculty member.*

*[INCLUDE IF REQUEST INVOLVES PROMOTION: Professor is the highest academic rank granted at UAB. The criteria for promotion to Professor require “the demonstration of nationally recognized excellence in the conduct of academic duties. The rank of Professor usually requires academic service at as an Associate Professor for at least three years at UAB or equivalent service elsewhere.” (UAB Faculty Handbook & Policies, Section 2.6.4)]*

*[INCLUDE IF REQUEST INVOLVES TENURE: Tenure at this university may only be conferred on appointees holding the ranks of Associate Professor or Professor (Section 2.15). Further, “the awarding of tenure is a serious and significant step for both the faculty member and UAB. It is not awarded merely on the basis of time in service. Tenure is awarded to individual faculty members upon evidence of the capacity and likelihood for continued intellectual, scholarly, and professional vitality; upon evidence of the ability and willingness to perform assigned duties; and upon evidence of a sense of responsibility and dedication to make the continuing exemplary performance of duties a reasonable expectation . . . . Tenure at UAB should be regarded as a most valuable possession, signifying a long-term commitment of resources by UAB, matched by the sincere commitment by the faculty member to continued professional growth and achievement” (Section 2.15). ]*

The Guidelines for Tenure and Promotion at the UAB School of Public Health define scholarship as “a diligent and systematic inquiry into a subject, which defines or revises theories, contributes to existing bodies of knowledge, or advances the state-of-the art of public health practice. Public health practice scholarship is distinguished from the performance of public health service, consultation or technical assistance in so far that it contributes to the body of knowledge by advancing public health practice theory or methodology and disseminates that knowledge in a scholarly manner that would stand up to peer review. A faculty member can emphasize original research, emphasize scholarly public health practice, or maintain an

appropriate balance between the two. Original research and scholarly public health practice both require originality of thinking and effective dissemination of knowledge through scholarly publications, communications and other appropriate channels.” The Guidelines define teaching as “the effective imparting of knowledge on a subject to individuals who have requested this information, for example by registering for a class. Teaching also includes guiding students as they develop new knowledge themselves. Activities that involve organizing the circumstances for this transmission, for example, participating in training grants or creating a new curriculum for a degree program is also considered teaching, as are advising and mentoring students on an individual basis.” The Guidelines define service as “professional contributions made by faculty to the profession, the university and the community-at-large (local, state, national or international groups, both public and private) that fall outside of the scope of either teaching or scholarship.”

The School of Public Health Faculty Affairs Committee would like your frank appraisal of *Dr. Doe’s* scholarship, teaching and service accomplishments. We are also interested in your opinion about whether someone with this record would be granted *promotion or tenure* at your institution. Please summarize your background and relationship to the candidate (if any).

Dr. Doe has waived *his/her* right to see the evaluations and the evaluation you provide will be not available to *him/her*.

**OR**

Dr. Doe has not waived *his/her* right to see the evaluations and as such the evaluation you provide will be available to *him/her*.

Enclosed is a copy of the promotion package that has been prepared for the Committee. If you feel you are unable to evaluate *Dr. Doe’s* work, please let me know as soon as possible. I would like to receive your evaluation no later *than {DATE}*. Thank you for your help with this important decision.

Sincerely,

Name  
Title

Enclosure



**UAB School of Public Health Faculty Affairs Committee Cover Sheet for  
Appointment Requests  
(Non-tenure-earning Part-Time, Adjunct, Secondary, & Visiting Faculty Appointments)**

Per section 2.5 of the *UAB Faculty Handbook and Policies*, UAB faculty members who hold a primary faculty appointment in another unit may hold a **Secondary** appointment without tenure at the same or lower rank in the School of Public Health (SPH). **Adjunct** is a non-tenure earning appointment for individuals who are not full-time UAB employees and who are appointed to perform instructional, research, and/or service functions in the SPH. **Full-Time or Part-Time Temporary** appointments are non-tenure earning, limited term (one year or less) primary appointments when a department needs to hire a faculty member and there is not sufficient time to conduct a search. **Visiting** is a courtesy appointment at a rank equivalent to the rank held at the visitor's home academic institution. Secondary, adjunct, and visiting faculty are appointed for specific terms up to 5 years. A **Graduate School appointment** is required for participation in Graduate School Activities. Course instructors should fulfill the **Credentialed Credit Course Instructor** requirements described in UAB Provost memorandum dated 1/6/05.

Upon receipt of approval, an ACT document and Faculty Data Form must be submitted through the UAB processes.

SPH Dept. submitting request: \_\_\_\_\_ Staff contact: \_\_\_\_\_ Phone: \_\_\_\_\_

Candidate's name: \_\_\_\_\_

Current Employer/Department: \_\_\_\_\_ Title/Position: \_\_\_\_\_

If academic, primary faculty rank/title in position outside SPH: \_\_\_\_\_

Other current faculty appointments (or past faculty appointments if no current appointments): \_\_\_\_\_

Earned Degrees and Certification				
Degree	Date	Institution	Discipline	City, State/Country

**Type of Request**

<b>Proposed rank/title:</b>	<b>Proposed term (up to 5 years):</b>				
<b>Type of request and supporting materials</b>	<b>Part-Time</b>	<b>FT Temp</b>	<b>Adjunct</b>	<b>Secondary</b>	<b>Visiting</b>
<b>Initial appointment</b> – FAC review required. Submit cover sheet, candidate's c.v. and, as applicable, evidence of teaching effectiveness.					
<b>Renewal of appointment</b> – FAC review required if rank/role change; submit as above. Departmental review otherwise; send Chair's letter of reappointment & candidate's c.v. directly to Dean's office.					

<input type="checkbox"/> <b>Proposed Role/Duties – Check all that apply</b>	<b>Description</b>
Research/scholarly collaboration	
Graduate course instructor	Course #/title:
Student research committee member/advisor	
Off-campus supervisor student projects/ training	Site:
Service role	
Other (e.g., honorific)	

Department's primary reason for appointment request (Describe here or attach Chair's memorandum. Provide any relevant background information or special circumstances/considerations):

Signature of Department Chair \_\_\_\_\_ Date \_\_\_\_\_