



## **Heersink School of Medicine Faculty Handbook**

**Revised:** February 2025 **Effective:** March 1, 2025

A blue ink signature of Anupam Agarwal, MD. The signature is written in a cursive style, with the first letters of the first and last names being capitalized and prominent.

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**Anupam Agarwal, MD**  
**Senior Vice President & Dean, Heersink School of Medicine**

A black ink signature of Janet Woodruff-Borden, PhD. The signature is written in a cursive style, with the first letters of the first and last names being capitalized and prominent.

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**Janet Woodruff-Borden, PhD**  
**Senior Vice President for Academic Affairs & Provost**

## **Welcome from the Sr. VP and Dean**

Welcome to the University of Alabama at Birmingham Marnix E. Heersink School of Medicine.

This handbook has been written to inform you of the Heersink School of Medicine (SOM) policies, procedures, and expectations for faculty. It is intended to be used as a reference along with the *UAB Faculty Handbook* and the *You and UAB Handbook*. In no cases should the policies in the Heersink *SOM Faculty Handbook* contradict the policies in the *UAB Faculty Handbook*. This handbook is intended to complement the *UAB Faculty Handbook* and be more specific to the faculty and policies of the Heersink SOM.

We hope this handbook will answer your questions regarding the Heersink SOM. The information contained in the handbook is updated regularly. If you cannot find the information you are seeking in this handbook, the *UAB Faculty Handbook*, or the *You and UAB Handbook*, please contact your department administrator.

**UAB Heersink School of Medicine Faculty Handbook  
Table of Contents**

<b>1. Mission and Vision Statements.....</b>	<b>6</b>
<b>2. History and Overview of the Heersink SOM.....</b>	<b>6</b>
<b>3. Heersink SOM Leadership.....</b>	<b>7</b>
<b>4. Faculty Appointments.....</b>	<b>7</b>
4.1. Ranks and Criteria	
4.1.1. Clinical Instructor and Instructor, Non-tenure Earning Track	
4.1.2. Assistant Professor, Tenure Earning or Non-tenure Earning Tracks	
4.1.3. Clinical Assistant Professor	
4.1.4. Associate Professor, Tenure Earning or Non-tenure Earning Tracks	
4.1.5. Clinical Associate Professor	
4.1.6. Professor, Tenure Earning or Non-tenure Earning Tracks	
4.1.7. Clinical Professor	
4.2. Voluntary Faculty Appointments	
4.2.1. Adjunct Instructor	
4.2.2. Adjunct Assistant Professor	
4.2.3. Adjunct Associate Professor	
4.2.4. Adjunct Professor	
4.3. Graduate Faculty Status	
4.4. Secondary, Center, and Administrative Appointments	
4.5. Emeritus Appointments	
4.6. Endowed Chairs and Professorships	
<b>5. Faculty Appointment, Promotion and Tenure Award Procedure Guidelines.....</b>	<b>15</b>
5.1. Appointment Process, Including Faculty Council Prior Review for Tenure-earning Track and Non-tenure Earning Track	
5.1.1. Departmental Appointment, Promotion and Tenure (APT) Committee Guidelines for Tenure-earning Track and Non-tenure Earning Track	
5.1.2. Faculty Council for Tenure-track and Non-tenure Earning Track	
5.2. Appointment Process, Including Clinical Faculty Council Prior Review for Academic Clinician Track	
5.2.1. Departmental Clinical Appointment and Promotion Committee Guidelines for Academic Clinician Track	
5.2.2. Clinical Faculty Council for Academic Clinician Track	
5.3. Heersink SOM Promotion Standards	
5.3.1. Assistant Professor, Tenure-earning, Non-tenure Earning Track or Academic Clinician Track	
5.3.2. Associate Professor, Tenure-earning, or Non-tenure Earning Tracks	
5.3.3. Clinical Associate Professor	

5.3.4. Professor, Tenure-earning or Non-tenure Earning Tracks	
5.3.5. Clinical Professor	
5.4 Examples of Excellence in Areas of Faculty Activity	
5.4.1. Research (Associate Professor)	
5.4.2. Research (Professor)	
5.4.3. Teaching (Associate Professor)	
5.4.4. Teaching (Professor)	
5.4.5. Service (Associate Professor)	
5.4.6. Service (Professor)	
5.5. Heersink SOM Tenure Guidelines	
5.6. Heersink SOM Process for Appointment, Promotion, and Tenure for Tenure-earning Track and Non-tenure earning Track	
5.6.1. Promotion/Tenure Process for Tenure-earning Track and Non-tenure Earning Track	
5.6.2. Out-of-Cycle Promotion for Tenure-earning Track and Non-tenure Earning Track	
5.7. Heersink SOM Process for Appointment and Promotion for Academic Clinician Track	
5.7.1. Appointment Process for Academic Clinician Track Faculty	
5.7.2. Promotion of Academic Clinician Track Faculty	
5.7.3. Out-of-Cycle Promotion of Academic Clinician Track Faculty	
<b>6. Scholarship Defined.....</b>	<b>27</b>
<b>7. Faculty Terminations.....</b>	<b>29</b>
7.1. Resignation	
7.2. Retirement	
7.3. Termination for Cause	
<b>8. Grievance Procedure.....</b>	<b>29</b>
<b>9. Annual Faculty Evaluations.....</b>	<b>30</b>
<b>10. Reappointment and Non-Reappointment of Non-Tenure Earning Faculty.....</b>	<b>31</b>
<b>11. Heersink SOM Faculty Commitments.....</b>	<b>31</b>
<b>12. Faculty Rights and Responsibilities.....</b>	<b>31</b>
<b>13. Benefits.....</b>	<b>31</b>
13.1. UAB	
13.2. On-the-Job Injury/Illness Program	
13.3. Health Services Foundation	
<b>14. UAB Enterprise Code of Conduct.....</b>	<b>32</b>

<b>15. Research Compliance and Policies.....</b>	<b>32</b>
15.1. UAB Enterprise Conflict of Interest Conflict of Commitment	
15.2. Human Subjects in Research	
15.3. Use of Animals in Research	
15.3.1. Institutional Animal Care and Use Committee (IACUC)	
15.3.2. Animal Resources Program (ARP)	
15.4. Facilities and Administrative Rate Policy	
15.5. Policy Concerning Employee Falsification of UAB Records and Documents	
15.6. Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities	
15.7. Authorship Policy	
15.8. Patent Policy	
15.9. Copyright Policy	
15.10. Use of UAB Resources by External Entities	
15.11. Execution and Review of Contracts for UAB	
15.12. Laboratory Emergency Notification Labeling Policy	
15.13. Laboratory Closeout Policy	
15.14. Guidelines for Purchase of Grant and Contract Equipment at UAB	
<b>16. Travel (Foreign and Domestic) for UAB Purposes.....</b>	<b>36</b>
16.1. Foreign Travel	
16.2. Domestic Travel	
<b>17. Keeping in Touch.....</b>	<b>37</b>
<b>18. Verification of Education and Training.....</b>	<b>38</b>
<b>19. Facilities.....</b>	<b>38</b>
19.1. Libraries	
19.2. Research Centers	
19.3. Office of Sponsored Programs (OSP)	
<b>20. Effort Reporting.....</b>	<b>39</b>
<b>21. Patent Agreement.....</b>	<b>40</b>
<b>22. Nepotism Policy.....</b>	<b>40</b>
<b>23. Development and Ownership of Digital Media and Software.....</b>	<b>40</b>
<b>24. Data Protection and Security Policy.....</b>	<b>40</b>
<b>25. Acceptable Use of Computers and Network Resources.....</b>	<b>40</b>
<b>26. Health Insurance Portability &amp; Accountability Act (HIPAA).....</b>	<b>40</b>
<b>27. General Information.....</b>	<b>40</b>

<b>28. Research Programs.....</b>	<b>41</b>
<b>29. Employee Leaves of Absence.....</b>	<b>41</b>
29.1. Family and Medical Leave of Absence	
29.2. Military	
29.3. Personal	
29.4. Sabbatical	
29.5. Sick	
29.6. Vacation	

## **1. MISSION AND VISION STATEMENTS**

### Mission Statement

To advance health and healing through patient care, education, and discovery.

### Vision Statement

To be a leader in making a global impact through innovative care, transformative discovery, and collaborative teaching and learning.

## **2. HISTORY AND OVERVIEW OF THE HEERSINK SOM**

The University of Alabama System – composed of the University of Alabama (Tuscaloosa), the University of Alabama at Birmingham, and the University of Alabama in Huntsville – was created in 1969.

The University of Alabama Heersink SOM is a four-campus medical school, with UAB serving as the main campus and with regional campuses located around the state of Alabama. But the medical school is much older than the establishment of the System in 1969. Its predecessor institution, the Medical College of Alabama, was founded in Mobile in 1859 and remained in operation in that city until 1920. After 1907, the medical school was an academic department of the University of Alabama and was under the control of the university’s Board of Trustees. The Mobile school was closed in 1920 and was moved to the campus in Tuscaloosa where it was reopened as a two-year basic sciences program. That situation remained for a quarter century until the Alabama Legislature appropriated funding for a new four-year medical school in 1944. The following year the medical program was moved from Tuscaloosa to Birmingham and reopened as the state’s only four-year medical school. In 1969 UAB became an independent university within the new three-campus University of Alabama System, and the medical school at UAB was renamed as the University of Alabama School of Medicine. The medical school was renamed the UAB Marnix E. Heersink School of Medicine in 2021.

Under a revised operating plan adopted by the Board of Trustees in 1980, the University of Alabama Heersink SOM now has responsibility for all aspects of the System’s medical education program: educating and training candidates for the M.D. degree, providing graduate education in biomedical and the joint health sciences, developing and analyzing

new knowledge both in basic and in clinical sciences, and understanding and appreciating the socioeconomic factors involved in providing medical care. The school and its faculty must also provide patient care, not only for the benefit of clinical education, but also to help meet the medical care needs of the region.

In the pre-doctoral medical education program, the first two basic science years are taught on the campus of the University of Alabama at Birmingham; the last two clinical years are divided among the main campus at UAB and the school's three regional campuses located in Huntsville, Montgomery, and Tuscaloosa. Additionally, the medical school also provides family medicine residency programs in Selma. The school, with its main UAB campus and its regional campuses, is accredited as the University of Alabama Heersink SOM by the Liaison Committee on Medical Education, which approves all programs in medical education in the United States and Canada.

A complete chronological history of UAB, which includes the University of Alabama Heersink SOM, is available at <http://www.uab.edu/archives/>

### 3. HEERSINK SOM LEADERSHIP

To view the Heersink SOM leadership please refer to the website at <https://www.uab.edu/medicine/home/about/leadership>.

### 4. FACULTY APPOINTMENTS

#### 4.1. Ranks and Criteria

University of Alabama Heersink SOM faculty members are appointed into one of three tracks. The Tenure-earning (TE) and Non-tenure earning tracks (NTE) are reserved for those faculty who have a full- or part-time regular appointment at the University of Alabama at Birmingham (UAB). The Academic Clinician Track is a SOM-only track reserved for clinicians who contribute to the Heersink SOM mission and do not have a compensated, UAB appointment as a full-time regular or part-time regular employee. These tracks (outlined in Table A) provide the flexibility required for recognizing the contributions made by every researcher, educator, and clinician across UAB Medicine. UAB Medicine includes the original campus in Birmingham; the regional campuses; the University of Alabama Health Services Foundation; and members, affiliates, associates, and alliances of the UAB Health System Community Networks (<https://www.uabmedicine.org/about-uab-medicine/community-networks/>).

Table A. Appointment Tracks of the Heersink SOM

	Tenure-Earning Track	Non-tenure Earning Track	Academic Clinician Track
Eligibility	Faculty of the Heersink SOM	Faculty of the Heersink SOM	Clinicians of UA Health Services Foundation or of members, affiliates, associates, and alliances of the UAB Health System Community Networks or

			other affiliated community systems or groups
Faculty Appointment Rank (Titles)		Instructor	Clinical Instructor
	Assistant Professor	Assistant Professor	Clinical Assistant Professor
	Associate Professor	Associate Professor	Clinical Associate Professor
	Professor	Professor	Clinical Professor
Areas of Excellence for Promotion Above Assistant Professor or Clinical Assistant Professor	Research	Research	Service (in the form of patient care)  <b>Note:</b> Faculty on this track may have additional contributions in teaching and/or research that may bolster their application for promotion.
	Teaching	Teaching	
	Service	Service	
Numbers of Areas of Excellence Required for Promotion Above Assistant Professor or Clinical Assistant Professor	Two	One	One
Minimum Level of Recognition/Reputation Required for Promotion Above Assistant Professor or Clinical Assistant Professor	National	National	Local
Eligible for Tenure	Yes	No	No

Criteria for appointment include contributions in the areas of research, teaching, or service. All Heersink SOM faculty members are expected to be engaged in scholarly activities that support these efforts in ways that are consistent with their unique roles and faculty track. Importantly, however, at the time of their initial appointment there is an expectation of excellence (or an expectation of the potential for excellence) for faculty in these areas. Individuals appointed in the TE track are expected to demonstrate excellence or potential for excellence in at least two areas; those in the NTE track are expected to demonstrate excellence or potential for excellence in one area designated in their respective tracks. Faculty members on the Academic Clinician track are focused primarily on service in the form of patient care and so the expectation is that this would



be their area of excellence. Faculty on this track may have additional contributions in teaching and/or research that may bolster their application for promotion. Faculty members on the Academic Clinician Track will typically have unpaid appointments at UAB that are referred to as “voluntary” appointments, and do not have the same rights and responsibilities afforded to UAB faculty. Faculty appointed at UAB as full-time regular or part-time regular must be appointed to the tenure-earning or non-tenure earning tracks. For information regarding UAB guidelines please see the [UAB Faculty Handbook](#).

#### **4.1.1. Clinical Instructor and Instructor, Non-tenure Earning Track**

Appointments to the rank of Instructor are non-tenure earning and typically require a doctorate-level degree. In the rare circumstance a department proposes hiring a candidate without a terminal degree, a justification of need must be submitted to the HSOM Dean’s Office to request pre-approval. These appointments are generally for one year and are renewable.

#### **4.1.2. Assistant Professor, Tenure Earning or Non-tenure Earning Tracks**

Appointments to this rank usually require the following:

- Two or more years’ experience following receipt of doctorate-level degree
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- An expectation of collegiality and participation in service in the Department and/or Heersink SOM
- Demonstration of potential for scholarship in the areas of research, teaching, or service

#### **4.1.3. Clinical Assistant Professor**

Appointments to this rank usually require the following:

- Board certification or eligibility
- Two or more years of experience following receipt of a doctorate-level degree
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- Expectation of collegiality and participation in service in the Department and/or Heersink SOM
- Demonstration of potential for excellence in the area of service in addition to possible contributions to research and/or teaching

#### **4.1.4. Associate Professor, Tenure Earning or Non-tenure Earning Tracks**

Appointments to this rank usually require the following:

- Five or more years in the rank of Assistant Professor
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- Demonstration of collegiality and participation in the Department and/or Heersink SOM
- Evidence of excellence in scholarly achievement in the areas of research, teaching, and/or service
- Demonstration of national peer recognition in the conduct of scholarly activities

#### **4.1.5. Clinical Associate Professor**

Appointments to this rank usually require the following:

- Board certification or maintenance of certification
- Five years or more in the rank of Clinical Assistant Professor or equivalent
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- Demonstration of collegiality and involvement in the Department and/or Heersink SOM
- Demonstration of excellence in the areas of service appropriate for the Academic Clinician Track in addition to possible contributions to research and/or teaching
- Demonstration of local peer recognition in the conduct of duties

#### **4.1.6. Professor, Tenure Earning or Non-tenure Earning Tracks**

Appointments to this rank usually require the following:

- Distinguished performance as an Associate Professor with at least 5 years in that rank
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- Demonstration of collegiality, involvement, and leadership as a citizen of the Department and/or Heersink SOM
- Evidence of sustained excellence in scholarly achievement and productivity in the areas of research, teaching, and/or service
- Demonstration of national peer recognition in the conduct of scholarly activities

#### **4.1.7. Clinical Professor**

Appointments to this rank usually require the following:

- Board certification or maintenance of certification
- Distinguished performance as a Clinical Associate Professor or equivalent, with at least five years in rank
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- Demonstration of collegiality and involvement in the Department and/or Heersink SOM
- Demonstration of sustained excellence in the area of service appropriate for the Academic Clinician Track in addition to possible contributions to research and/or teaching
- Demonstration of local peer recognition in the conduct of duties

#### **4.2. Voluntary and Adjunct Faculty Appointments**

Clinicians, investigators, and educators without a regular faculty appointment in the Heersink SOM contribute substantially to the UAB Medicine mission. Voluntary UAB faculty appointments provide a mechanism to recognize these important contributions and the relationships they bring to the clinical, educational, or research aspects of this mission. UAB Medicine clinicians are considered to be in this group as it relates to their UAB faculty status, and their contributions are recognized through the Heersink SOM clinical faculty designations. Other individuals may receive an adjunct designation as

outlined below. These appointments should be reviewed at periodic intervals by the department, regional dean or Heersink SOM Dean's Office administrative staff.

#### **4.2.1. Adjunct Instructor**

Appointment as an Adjunct Instructor requires:

- Evidence of substantive recognition as a researcher/educator
- Appointments typically require a doctorate-level degree. In the rare circumstance a department proposes hiring a candidate without a terminal degree, a justification of need must be submitted to the HSOM Dean's Office to request pre-approval.

#### **4.2.2. Adjunct Assistant Professor**

Appointment as an Adjunct Assistant Professor requires:

- Having served previously in the role of Instructor or equivalent for two years
- Demonstration of potential for contributions in the areas of research, teaching, or service
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM

#### **4.2.3. Adjunct Associate Professor**

Appointment as an Adjunct Associate Professor requires:

- A minimum of five years as an Adjunct Assistant Professor
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- Demonstration of national recognition in their field
- Demonstration of an essential role in facilitating the research, service or educational activities of the Department and the School

#### **4.2.4. Adjunct Professor**

Appointment as an Adjunct Professor requires:

- Having served at least five years as an Adjunct Associate Professor
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- National recognition in their field
- Demonstration of a sustained contribution to the role in facilitating the research, service or educational activities of the Department and the School

### **4.3. Graduate Faculty Status**

Appointment to the faculty of the Graduate School is required for participation in Graduate School activities. Such appointments are supplementary to faculty appointments in an established school in Academic Affairs or in Health Affairs. No faculty appointments in the Graduate School are primary faculty appointments. Continuation of appointment to the graduate faculty shall be based on a periodic evaluation of the appointee's participation in graduate training activities.

The Graduate School should be informed by the Department Chair, Dean, or Library Director of all anticipated changes in faculty status, including non-reappointment, promotion, and/or the award of tenure.

If Graduate Faculty status is being recommended in the secondary appointment, and the faculty member has already been granted Graduate Faculty status in the primary department, send a copy of all the paperwork to the Dean of the Graduate School for their records. No signature is needed from the Dean of the Graduate School. If the faculty member does not have Graduate Faculty status in the primary department, the secondary department must send their recommendation, in writing, to the Dean of the Graduate School. HRM Records requires and must have the Dean of the Graduate School's signature on all newly appointed Graduate Faculty on the Faculty Data Form.

Please refer to the Graduate School website (<https://www.uab.edu/graduate/>) for policy and procedure. For additional information please refer to the [UAB Faculty Handbook](#).

#### **4.4. Secondary, Center, and Administrative Appointments**

A faculty member may only be given a secondary appointment in another school, or department. In addition, a secondary appointment may not be given at a rank higher than the faculty member's primary appointment. However, a faculty member may be appointed to an administrative position in another school, department, center, program, or laboratory.

The ranks for center appointments are as follows:

- Instructor/Assistant Professor – Associate Scientist
- Associate Professor – Scientist
- Professor – Senior Scientist

Note: The primary department should notify secondary department(s) and/or centers when a faculty member is promoted in rank. If the secondary department(s) and/or center(s) agree to a like promotion within their department and/or center, they should complete the Faculty Data Form with the "new" rank and obtain the proper signatures. Both primary and secondary departments and centers should keep each other informed of any changes regarding a faculty member.

For additional information please refer to the [UAB Faculty Handbook](#).

#### **4.5. Emeritus Appointments**

Faculty members on the TE or NTE tracks are eligible for this designation after ten years of service in and exceptional contributions to the University of Alabama System. An emeritus appointment to a faculty rank may become effective only after the faculty member retires or no longer holds the full-time position. An academic administrative emeritus appointment, such as Dean Emeritus, may be conferred at such time that the faculty member resigns from that academic administrative appointment, even though the faculty member may continue to hold a full-time faculty position at UAB until the time of retirement.

An appointment to emeritus status should be initiated by the Department Chair with preparation of the UAB Agenda Item Recommendation Form. This appointment should also be reviewed and approved by a faculty committee in the department and a summary of their deliberations included in the application. Accompanied by the faculty member's

curriculum vitae, Board resolution and a cover memorandum delineating justification for the appointment, the form should be sent through the Heersink SOM Dean's Office, UAB Provost, and forwarded to the President. When the appointment has been approved by the President and by the Board of Trustees, the form will be forwarded to the Office of Human Resources, and notification will be sent to the faculty member. The appropriate personnel documents should be processed by the department according to university and Human Resources guidelines. Appointment to emeritus status is campus-specific. Emeritus status must be approved by the Chancellor and the Board of Trustees.

Certain privileges will be inherent in emeritus faculty status. An identification card will be furnished to the person for use in the libraries, recreation center, bookstore, and campus dining facilities, and a guest-parking permit (annually renewable) also will be made available. Any faculty fees and charges for use of these facilities shall be applied to emeritus faculty. At the discretion of the appropriate Dean or Library Director and/or Department Chair, laboratory or office space may be assigned, if such is available.

Re-employment of retired faculty members is allowed within the limits set by the UAB "Policy Concerning the Re-employment of UAB retirees."

Documents for emeritus status should be processed at the same time the termination papers are submitted for a retiring faculty member.

Please refer to the [UAB Faculty Handbook](#) for more information.

#### **4.6. Endowed Chairs and Professorships**

UAB Procedure for filling Endowed Chairs and Professorships

UAB places a high value on the existence of endowed chair and professorship positions and the special opportunities they provide to support faculty members of exceptional quality. Special procedures are appropriate, therefore, to ensure the identification and selection of unusually gifted faculty for such appointment. All holders of endowed positions should make significant contributions to the research and teaching mission of UAB throughout the terms of their designations to such positions. Holders of these positions should be full-time faculty members. The procedures outlined below will be used at UAB to prepare endowed chair or endowed professorship appointment recommendations. In accordance with [Board Rule 508](#), such recommendations will be forwarded from the President to the Board of Trustees for final approval.

Before detailing the procedures, which will be used at UAB for filling endowed chairs or professorships, it is important to recognize that in certain cases the terms and conditions associated with an endowed position require that the individual holding a specific administrative position hold a specific endowed position. Since in such cases there will undoubtedly be a bona fide search for a highly capable individual, the special procedures outlined below will not apply. The Board, however, will be informed of the administrative appointment and asked to confirm the concurrent appointment to the relevant endowed position.

Individuals may be reappointed to endowed positions, for periods of up to five years, after an initial term of not more than five years. Reappointments do not require approval of the UA System Board of Trustees.

Additional guidance on endowed chairs and professorships can be found at the website of the [Office of the Provost](#).

### **Procedure**

- The process to identify suitable endowed professorship or endowed chair candidates will begin with the appointment of an appropriate Advisory Committee. In the case of endowed chairs or professorships which exist within divisions, departments, or centers, but are not designated for an individual occupying a specific administrative position, the department chairperson or center director shall recommend a minimum of five senior faculty (including at least one-third members from outside the relevant academic unit) to compose the Advisory Committee. The composition of each Advisory Committee must be approved by appropriate administrative officials through the level of the academic vice president. In the case of school-wide chair or professorship appointments, Advisory Committee membership recommendations will be made by the appropriate Dean and approved by the appropriate academic vice president.
- The Advisory Committee will use an appropriate variety of means and credentials to identify and review candidates giving full and appropriate consideration to individuals of outstanding ability both on and off campus. In all cases, evaluations should be obtained from distinguished and knowledgeable referees outside UAB.
- When considering external candidates, the Advisory Committee shall bring such candidates to the campus to present seminars and to meet with campus faculty and administrative officials.
- The Advisory Committee will recommend one or more acceptable candidates to the department chairperson or center director (or dean in the case of a school-wide position). Such recommendations must be accompanied by a complete curriculum vitae and a minimum of five letters of support, three of which must be from referees outside UAB.
- The department chairperson, center director, and/or dean will carefully review the Advisory Committee recommendations keeping in mind the high standards desirable for such an appointment and forward their recommendation to the President through the appropriate dean and academic vice president.
- If the President supports the recommendation, he/she will forward the recommendation to the Chancellor and Board with an appropriate letter of support and accompanying curriculum vitae. Letters of recommendation will be made available to the Chancellor and/or Board members on request.

### **Guidelines for Appointments to Endowed Chairs or Endowed Professorships**

System and institution procedures for appointment to endowed chairs or professorship, as well as individual appointments to endowed chairs and endowed professorships, require the approval of the Board of Trustees. The University of Alabama System guidelines below are intended as a framework within which the institutions may develop individual procedures to suit their special needs. Within a University, selection procedures may

differ among schools, colleges, divisions, or departments, as necessary to conform to the practices and customs of particular academic disciplines or professions. Where the funding for an endowment is tied to an administrative appointment, the search process for an administrative appointment must include consideration of the endowed chair or endowed professorship.

- The process for filling an endowed chair or endowed professorship shall include a comprehensive search to identify and recruit candidates who can make the greatest contributions to our institutions.
- In reviewing the credentials of endowed chair or endowed professorship, the candidate's outside peers shall be consulted. Peer reviewers may include, but not be limited to, those suggested by the candidates.
- The selection process shall include provisions for direct input from faculty members of the academic department(s) in which the chair resides.
- When an institution has completed a search and wishes to nominate a person for appointment by the Board, a recommendation will be forwarded by the President to the Chancellor along with an outline of the steps followed in the search process, a list of the search committee members, a copy of the nominee's curriculum vitae, and written evaluations by outside peers. The Chancellor recommends appointment of the nominee, the Academic Affairs and Planning Committee of the Board will be provided with a copy of the candidate's curriculum vitae and a supporting letter from the institution administration, which shall include a short summary of the reasons for maintaining this individual. The Committee will also be administrators concerning the suitability of the nominee for the endowed chair or endowed professorship position. The Academic Affairs and Planning Committee will then make a recommendation to the Board. Appointments to endowed chairs and endowed professorships may be finalized only after approval by the Board of Trustees of The University of Alabama.

## **5. HEERSINK SOM FACULTY APPOINTMENT, PROMOTION AND TENURE AWARD PROCEDURE GUIDELINES**

### **5.1. Appointment Process, Including Faculty Council Prior Review for Tenure-earning Track and Non-tenure Track**

Initial appointments to the Heersink SOM may occur throughout the year and all appointments above the rank of Assistant Professor in the TE or NTE tracks require Prior Review by the Faculty Council. Additionally, appointments that include the award of tenure at the time of the initial appointment require Faculty Council Prior Review. Instructions on the composition of the Prior Review packets will be provided to the departments by the Dean's Office of the Heersink SOM. The criteria outlined in this policy for promotion within the institution will also apply to new hires being assessed through the Prior Review process.

#### **5.1.1. Departmental Appointment, Promotion and Tenure (APT) Committee Guidelines for Tenure-earning Track and Non-tenure Track**

Each department within the Heersink SOM shall have a committee (which may include all faculty in a department who are eligible to vote on tenure and/or promotion decisions) to

consider and make recommendations to the Chair concerning faculty appointments, promotion and tenure whenever Departmental review is required. Criteria for Department APT Committees are as follows:

- Committee members should be UAB regular faculty at the Associate Professor and Professor ranks.
- Efforts should be undertaken to ensure membership of faculty with wide-ranging experiences and perspectives on the APT Committee.
- The APT Committee will consist of a minimum of three committee members. When the committee is limited to just three members, extra measures should be taken to ensure a minimum of three members are eligible to vote on each appointment or promotion.
- Department Chairs may not serve on the departmental APT Committee.
- Chair of the departmental APT Committee should be elected by the committee members in consultation with the Department Chair.
- Members of the committee should rotate off on a regular basis (e.g., every 3 years), if feasible.
- Faculty will have the opportunity to request a reconsideration of a committee decision.
- Only tenured committee members, regardless of rank, may vote on initial appointments with tenure and subsequent awards of tenure.
- Only committee members at or above the rank to which the faculty member under consideration is to be appointed or promoted may vote on such actions.
- Division Directors must recuse themselves from Committee discussions or votes of any individual they supervise.
- The Department Chair may invite faculty outside of the department, but within the Heersink SOM to serve on the Departmental APT Committee if there are not enough faculty of the appropriate rank and tenure status to constitute a committee.

#### **5.1.2. Faculty Council for Tenure-track and Non-tenure Track**

The Faculty Council will serve as the Heersink SOM Appointment, Promotion, and Tenure Committee. In this capacity, the Faculty Council will make recommendations to the Dean on the merits of appointment, promotion, and tenure of individual Heersink SOM faculty members. The Faculty Council will review and approve/disapprove the initial appointment of all incoming faculty members of the Heersink SOM at the level of Associate Professor and Professor in the TE or NTE track and those faculty appointments that include the award of tenure. Additionally, the Faculty Council will review and approve/disapprove all applications for promotion to these same ranks in the TE and NTE tracks as well as applications for the award of tenure.

The Faculty Council shall consist of twenty-seven (27) faculty members with a part or full-time appointment to UAB. Nineteen (19) members are elected by the faculty and the Dean shall appoint eight (8) members. Efforts should be undertaken to ensure membership of the Faculty Council represents wide-ranging experience and perspectives. Department Chairs and faculty with Dean appointments may not serve as members. The Dean shall invite nominees for the elected positions and will construct a ballot of eligible faculty for distribution to and election by all UAB regular faculty members. The Faculty



Council will recommend a Chair and Vice-Chair, who then must be appointed by the Dean. These individuals must have previously served as a regular member of the Faculty Council for at least one three-year term. This prior service may have occurred in an earlier appointment to the Faculty Council. The term of service for the Chair and Vice-Chair is three years. With the endorsement of the Faculty Council membership and the approval of the Dean, the Vice-Chair will become the Chair at the completion of the Chair's 3-year term, and then will serve one 3-year term as Chair. A new Vice-Chair then will then be selected. The individual selected as the Vice-Chair should alternately be from a Joint Health Sciences and Clinical Department, so that the Chair is from a Clinical Department and the Vice-Chair is from a Joint Health Sciences department, or vice versa. Terms of appointment for Faculty Council members are three (3) years with one possible three (3) year renewal. The term of the Vice-Chair shall be extended so that they may serve one term as Chair. It is the responsibility of the Faculty Council to review each application applying the standards described previously.

Faculty Council members may vote on appointment, promotion, and tenure candidates as follows:

- Only tenured committee members, regardless of rank, may vote on initial appointments with tenure and awards of tenure.
- Only committee members at or above the rank to which the faculty member under consideration is to be appointed or promoted may vote on such actions.
- Committee members must recuse themselves from Faculty Council discussions or votes of any individual where the member has a conflict of interest.

## **5.2. Appointment Process, Including Clinical Faculty Council Prior Review for Academic Clinician Track**

Initial appointments to the Heersink SOM may occur throughout the year and all appointments above the rank of Clinical Assistant Professor in the Academic Clinician Track require prior review by the Clinical Faculty Council. Instructions on the composition of the Clinical Prior Review packets will be provided to the departments by the Dean's office of the Heersink SOM. The criteria outlined in this policy for promotion within the institution will also apply to new hires being assessed through the Clinical Prior Review process.

### **5.2.1. Departmental Clinical Appointment and Promotion Committee Guidelines for Academic Clinician Track**

Each department within the Heersink SOM shall have a Clinical Appointment and Promotion Committee to consider and make recommendations to the Chair concerning appointment and promotion of Academic Clinician Track Faculty. For departments with faculty working in Hospital Medicine and Primary Care, the Department Clinical Appointment and Promotion Committee must have representatives from these areas. This specifically applies to appointment and promotion to the rank of Associate Professor and Professor. Criteria for Department Clinical Appointment and Promotion Committees are provided below:

- Committee members should be clinical faculty (Academic Clinician Track and/or dually appointed clinical faculty) at the rank of Associate Professor and Professor.

- Efforts should be undertaken to ensure membership of the committee represents wide-ranging experience and perspectives.
- The committee will consist of a minimum of three committee members. When the committee is limited to just three members, extra measures should be taken to ensure a minimum of three members are eligible to vote on each appointment or promotion.
- Department Chairs may not serve on the Department Clinical Appointment and Promotion Committee.
- Chair of the Clinical Appointment and Promotion Committee should be elected by the committee members in consultation with the Department Chair.
- Members of the committee should rotate off on a regular basis (e.g., every 3 years), if feasible.
- Faculty will have the opportunity to request reconsideration of a committee decision.
- Only committee members at or above the rank to which the faculty member under consideration is to be appointed or promoted may vote on such actions.
- Committee members must recuse themselves from committee discussions or votes of any individual they supervise and any individual where the committee member has a conflict of interest.
- The Department Chair may invite faculty outside of the department, but within UAB Medicine to serve on the Department Clinical Appointment and Promotion Committee.

### **5.2.2. Clinical Faculty Council for Academic Clinician Track**

The Clinical Faculty Council will serve as the Appointment and Promotion Committee for UAB Medicine and the UAB Heersink SOM. In this capacity, the Clinical Faculty Council will make recommendations to the Dean on the merits of appointment and promotion of UAB Medicine Faculty on the Academic Clinician Track. The Clinical Faculty Council will review and approve/disapprove the initial appointment of Academic Clinician Track faculty members appointed in UAB Medicine. Additionally, the Clinical Faculty Council will review and approve/disapprove all applications for promotion of Academic Clinician Track faculty to the rank of Clinical Associate Professor and Clinical Professor.

The Clinical Faculty Council shall consist of between eleven (11) and fifteen (15) clinical faculty (Academic Clinician Track and/or dually appointed clinical faculty).

Approximately 70% (between eight (8) and eleven (11)) of members are elected by the clinical faculty. The Dean shall appoint the remaining (between three (3) and four (4)) members. Efforts should be undertaken to ensure membership of the Clinical Faculty Council represents wide-ranging experience and perspectives. Department Chairs and faculty with Dean appointments may not serve as members. The Dean shall invite nominees for the elected positions and will construct a ballot of eligible faculty for distribution to and election by all clinical faculty in the UAB Heersink SOM.

The Clinical Faculty Council will recommend a Chair and Vice-Chair, who then must be appointed by the Dean. These individuals must have previously served at least part of a term as a regular member of the Clinical Faculty Council (this requirement will be waived for the inaugural appointments). This prior service may have occurred in an

earlier appointment to the Clinical Faculty Council. The term of service for the Chair and Vice-Chair is three years. With the endorsement of the Clinical Faculty Council membership and the approval of the Dean, the Vice-Chair will become the Chair at the completion of the Chair's 3-year term, and then will serve one 3-year term as Chair. A new Vice-Chair will then be selected. Terms of appointment for Clinical Faculty Council members are three (3) years with one possible three (3) year renewal. In order to ensure consistency of the council's reviews, the inaugural terms of appointment of council members will vary between one (1) to three (3) years or four (4) and six (6) years to stagger the timing of members rotating off the committee. Ideally, no more than a quarter of members should rotate off the committee annually. The term of the Vice-Chair may extend beyond six-years so the Vice-chair may serve one term as Chair. It is the responsibility of the Clinical Faculty Council to review each appointment and promotion application applying the standards of the Academic Clinician Track.

Criteria for Clinical Faculty Council are provided below:

- Committee members should be clinical faculty (Academic Clinician Track and/or dually appointed clinical faculty) at the Associate Professor and Professor ranks.
- Only committee members at or above the rank to which the faculty member under consideration is to be appointed or promoted may vote on such actions.
- Committee members must recuse themselves from discussions or votes of any individual where the member has a conflict of interest. It is the responsibility of the council members to disclose potential conflicts.

### **5.3. Heersink SOM Promotion Standards**

Faculty member contributions to activities in the areas of research, teaching, and service are evaluated for promotion and the award of tenure. All faculty members are expected to be engaged in scholarly activities that support the areas of research, teaching, and service in ways that are consistent with their unique roles and faculty promotion tracks. Further, to attain promotion or the award of tenure, faculty are expected to demonstrate sustained excellence in the mission areas appropriate to their professional roles. For faculty in the TE and NTE tracks, this excellence is closely related to scholarship that includes national peer review of other scholars. Faculty in the Academic Clinician Track are also expected to demonstrate excellence as evaluated by their local peers. Individuals being promoted in the TE track are expected to demonstrate excellence in at least two areas designated in the TE track; those being promoted in the NTE track and Academic Clinician Track are expected to demonstrate excellence in any one area designated in their respective tracks (Table A). While promotion is based upon achieving excellence in two or one area(s), all faculty members are encouraged to contribute to other mission areas of the Heersink SOM.

#### **5.3.1. Assistant Professor, Tenure Earning, Non-tenure Earning Track or Academic Clinician Track**

Promotion to this rank usually requires the following:

- Two or more years of work experience following receipt of doctorate level degree
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the department and the Heersink SOM.

- An expectation of collegiality and participation in service in the department and/or Heersink SOM.
- Demonstration of potential for contributions in the areas of research, teaching, or service.

### **5.3.2. Associate Professor, Tenure Earning or Non-tenure Earning Tracks**

Promotion to this rank usually requires the following:

- Five or more years in the rank of Assistant Professor
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the department and the Heersink SOM.
- Demonstration of collegiality and involvement in the department and/or Heersink SOM.
- Evidence of excellence in scholarly achievement in the areas of research, teaching, and/or service
- Demonstration of national peer recognition in the conduct of scholarly activities

### **5.3.3. Clinical Associate Professor**

Promotion to this rank usually requires the following:

- Board certification or maintenance of certification
- Five years or more in the rank of Clinical Assistant Professor or equivalent
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- Demonstration of collegiality and involvement in the Department and/or Heersink SOM
- Demonstration of excellence in the area of service appropriate for the Academic Clinician Track in addition to possible contributions to research and/or teaching
- Demonstration of local peer recognition in the conduct of duties

### **5.3.4. Professor, Tenure Earning or Non-tenure Earning Tracks**

Promotion to this rank usually requires the following:

- Distinguished performance as an Associate Professor, with at least 5 years in rank
- Demonstration of collegiality, involvement, and leadership as a citizen of the Department and/or Heersink SOM
- Evidence of sustained excellence in scholarship and productivity in the areas of research, teaching, and/or service
- Demonstration of national peer recognition in the conduct of scholarly activities

### **5.3.5. Clinical Professor**

Promotion to this rank usually requires the following:

- Board certification or maintenance of certification
- Distinguished performance as a Clinical Associate Professor or equivalent, with at least five years in rank
- Academic credentials and demonstration of level of specialized accomplishment appropriate to the mission of the Department and the Heersink SOM
- Demonstration of collegiality and involvement in the Department and/or Heersink SOM

- Demonstration of sustained excellence in the area of service appropriate for the Academic Clinician Track in addition to possible contributions to research and/or teaching
- Demonstration of local peer recognition in the conduct of duties

**Note:** The requirements above regarding five or more years in rank for promotion to the Associate Professor-level or Professor-level applies to faculty hired on or after October 1, 2023. All faculty hired prior to October 1, 2023, must have three or more years in current rank for promotion to Associate Professor or Professor.

#### **5.4. Examples of Excellence in Areas of Faculty Activity**

Examples of activities consistent with the above guidelines for each of the three areas are provided below. These are not meant to be comprehensive and all-inclusive listings, but rather to provide examples of what constitutes excellence in each of the areas. A faculty member can be recognized as achieving excellence through a combination of activities listed in each area. Additionally, it is recognized that some activities may be classified into more than one category of activity. Finally, the various individuals and faculty peer review groups may consider additional accomplishments in their judgement of the excellence of a particular faculty member being considered for promotion or tenure.

##### **5.4.1. Research (Associate Professor)**

- Demonstration of initiative and independence in research activities in basic or translational science, clinical outcomes, quality improvement or population-based research.
- Evidence of research independence includes but is not limited to receipt of one or more substantial extramural grants (e.g., PI of non-mentored extramural funding at a R01-equivalent level).
- Publication of independent research findings and scholarly papers in peer reviewed journals. (Publications as first, senior or corresponding author is regarded as stronger evidence of research independence.)
- Obtaining grants and/or contracts for support of research.
- Presentation of research and other scholarly findings at scientific and professional meetings. Service on thesis or dissertation committees.

##### **5.4.2. Research (Professor)**

- Sustained and outstanding performance in the examples cited for the associate professor level
- Serving as mentor, co-author, or senior author of student or resident presentations at local, regional, or national meetings
- Receipt of invitations to preside over sessions at national or international scientific meetings
- Participation in external review committees, study sections, or service as editor of scientific or professional journals or textbooks
- Receipt of recognition of excellence in research by professional or scientific institutions or organizations

#### **5.4.3. Teaching (Associate Professor)**

- Demonstration of mastery of content and method, documented by student, resident, postdoctoral fellow, and/or peer evaluation (All teaching activities should receive consideration.)
- Taking responsibility for the design, organization, coordination, and evaluation of an educational program
- Developing and/or presenting effective continuing education or other professional programs, including invited presentations
- Providing effective supervision, guidance, and/or counseling to trainees, including graduate students, postdoctoral fellows, and/or house officers
- Participation in educational program planning and general curricular activities
- Publication of papers and/or presentations at professional meetings on topics related to education
- Demonstration of innovation in teaching methods and production of texts, educational software or courseware
- Receipt of recognition as an exemplary scientist or clinician whose mentoring and teaching activities provide an outstanding role model for students
- Serving as principal investigator on grants or contracts for educational projects

#### **5.4.4. Teaching (Professor)**

- Sustained and outstanding performance in the examples cited for the associate professor level
- Leadership through design, organization, coordination, and evaluation of educational programs
- Administrative responsibility at the school or departmental level for curriculum
- Leadership in continuing education or other professional programs; invitations as visiting professor at other institutions
- Supervision of staff teaching within a course, division, department, or within the school
- Sustained productivity in publication of papers and/or presentations at professional meetings on topics related to education
- Sustained innovation and leadership in production of texts, educational software, or courseware
- Record of sustained ability to maintain external funding to support innovative educational projects
- Sustained recognition as an exemplary scientist, teacher or clinician whose activities provide an outstanding role model for students

#### **5.4.5. Service (Associate Professor)**

- Providing measurably excellent clinical productivity and exemplary patient care
- Providing demonstrable leadership or initiative in administrative or committee roles that augment the missions of the Department and/or Heersink SOM in clinical care, research, and/or education such as originality in problem solving, authorship of guidelines or quality reports and policies
- Providing staff responsibility for a service or specific area of patient care

- Providing demonstrable leadership in quality improvement/assurance or patient safety initiatives
- Serving as critical member or director of a research core laboratory
- Serving on the UAB Faculty Senate
- Serving as editor of a journal
- Serving on a grant review committee
- Serving on graduate student committees (e.g., thesis committee)
- Serving on national committees that serve to set guidelines/recommendations for research (e.g., NIH committees, professional societies)
- Serving on committees with the department, school, university and/or affiliated institutions
- Engaging in mentoring junior faculty colleagues
- Serving on committees to develop clinical practice guidelines or to formulate healthcare policies
- Providing service to the professional or lay community through education, consultation or other roles
- Participation as a key member of a large research team(s), proving documented critical scientific contribution(s) or serving in a significant role in the research (“team science” contributions)

#### **5.4.6. Service (Professor)**

- Continued demonstration of excellence of measurably excellent clinical productivity and exemplary patient care.
- Serving on committees with the department, school, university and/or affiliated institutions
- Serving on the UAB Faculty Senate
- Serving on committees to develop clinical practice guidelines or to formulate healthcare policies
- Providing service to the professional or lay community through education, consultation or other roles
- Sustained exemplary leadership in administrative committee roles that augment the missions of the Department and/or Heersink SOM in clinical care, research and/or education such as originality in problem solving, authorship of guidelines or quality reports and policies
- Providing sustained responsibility for a service or specific area of patient care or clinical teaching
- Sustained excellence in the leadership of quality improvement/assurance or patient safety initiatives
- Recognition as an authority by other schools and departments within UAB and by local, state, regional and national organizations or institutions
- Appointment to responsible position(s) within the institution or its affiliates (e.g., chairs a committee, department, or division; membership on major Department or Heersink SOM committees)
- Extensive and excellent mentorship of faculty colleagues
- Continued service on committees to develop clinical practice guidelines or to formulate regional or national healthcare policies

- Election to responsible positions on civic boards or organizations concerned with health care issues at the local, state, regional, national, or international levels

### **5.5. Heersink SOM Tenure Guidelines**

The awarding of tenure is a serious and significant step for both the faculty member and the Heersink SOM. 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 is not awarded merely on the basis of time in service.

Any faculty member appointed to a tenure-earning faculty position shall have a maximum of ten years to earn tenure. This period will begin on the first day of October after the appointment on the tenure-earning track. If tenure has not been awarded during or before the ninth year on the tenure-earning track, the appointment for the final year shall be a terminal appointment. To qualify for consideration of tenure during the terminal year, the individual must have been considered for tenure prior to the terminal year. Therefore, a packet requesting tenure must be submitted and ruled upon for all faculty members in or before their ninth year on TE track. Only in cases in which there is substantial new evidence in support of candidacy for tenure may a candidate be considered for tenure during the terminal year (see section 2.15.9 of the UAB Faculty Handbook). This review shall serve as the primary basis upon which to determine whether substantial new evidence is apparent. Each level of review (departmental committee, if applicable, school committee, Dean, and Provost) must make this determination. Faculty members on the TE track who are not awarded tenure at the review during the ninth year will receive a one-year notice of termination unless they transfer to the NTE track or gain tenure in the tenth year.

Note that promotion and tenure may be sought at the same time or may be sought separately. Tenure-earning Assistant Professors often simultaneously seek promotion along with the award of tenure. However, a tenure-earning Assistant Professor may seek promotion prior to application for the award of tenure but may not apply for tenure without promotion. In all cases, the Faculty Council decides on the award of tenure separately from the decision on appointment or promotion. Criteria for granting tenure include the following:

- Achievement of rank of at least Associate Professor on the TE track.
- Academic credentials consistent with the missions of the department and the Heersink SOM.
- National reputation reflected by peer recognition, presentations at national professional meetings, and productivity in published works.
- Evidence of strong institutional citizenship, manifest as effective participation in service activities, mentoring of more junior colleagues, support of university missions and values, collegiality, and leadership initiative.
- Evidence of sustained, significant scholarship in at least two of the following three areas: research, teaching, and service.



Individuals appointed to faculty positions at UAB may be appointed to the tenure-earning faculty only once during a period of continuous employment at UAB. That is, with appropriate approval, individuals initially appointed to the tenure-earning faculty may later be appointed to the non-tenure-earning faculty, but they may not subsequently return to the tenure-earning faculty in that position during a period of continuous employment. They may seek appointment to a different position at UAB, which may be tenure-earning, tenured, or non-tenure-earning, if selected through national level recruitment. Individuals initially appointed to the non-tenure-earning faculty may later be appointed to the tenure-earning faculty position provided that the search under which he or she is selected is for a tenure-earning faculty position. When appropriate, these individuals could then return to the non-tenure-earning faculty. Appointment change from a tenure-earning to a non-tenure-earning faculty position requires notification of the faculty member whose status is to change and the approval of his/her Chair, the Dean, and the Provost. Similarly, an appointment change from the non-tenure track to the academic clinician track, or vice versa, requires approval from the department Chair, Dean, and Provost, but is not subject to a restriction on the number of times such a change can be sought.

For additional information, please refer to the [UAB Faculty Handbook](#).

## **5.6. Heersink SOM Process for Appointment, Promotion, and Tenure for Tenure-earning Track and Non-tenure Track**

### **5.6.1. Promotion/Tenure Process for Tenure-earning Track and Non-tenure Track**

Promotions involving the ranks of Instructor to Assistant Professor only require review and approval by the Dean(s) and the Provost. As such, these proposals may be submitted at this time or anytime throughout the year.

Promotions to the rank of Associate Professor or Professor (TE or NTE), and the award of tenure require review by the Faculty Council. The Faculty Council meets once per academic year to deliberate on promotion and tenure packets. This meeting generally occurs in May so that approved packets may be advanced from the Dean's Office to the Provost's Office for final approval in time for the promotion and/or award of tenure to be effective on October 1 of the same year. Time at rank is counted toward promotion starting the date hired to the current rank. The tenure-earning period shall be determined by the date of appointment if it is October 1. If the appointment date comes after October 1, the October 1 which next follows the initial date of appointment to a tenure-earning position shall determine the start of the tenure-earning period.

In order to provide faculty time to prepare their packets and department APT committees time to deliberate and advance these to the Faculty Council, the overall process for individual faculty members generally starts the fall prior to the May Faculty Council meeting. Written notification from the Dean is distributed to Department Chairs/administrators to begin the process for the upcoming promotion/tenure award cycle and includes the calendar with specific dates of deadlines for completion of key tasks in advance of Faculty Council review. Departments/divisions shall prepare promotion and/or tenure award proposals as outlined in the Heersink SOM instructions. These proposals require review and approval or denial by the Department Appointment,

Promotion and Tenure committee prior to submission for review and consideration by the Faculty Council. Deadlines for review by departmental committees are set by each department.

Following the Faculty Council meeting, the Faculty Council Chair or Vice-Chair will contact faculty members and Department Chairs regarding any candidates whose applications were disapproved. The faculty member may then request a reconsideration of the Faculty Council recommendation at a special meeting that occurs generally in June and includes another Faculty Council vote. Once the second vote is complete, the Faculty Council's recommendations will be sent to the Dean for approval. Letters will be sent notifying Department Chairs of the Dean's approval. Individual faculty members will be notified if the Dean's decision is a denial and will be advised of their rights to appeal using the process described in Section 2.17 of the [UAB Faculty Handbook](#).

The Dean then submits recommendations for approval of promotions and/or awards of tenure to the Provost. The Provost and/or President's Office provides notification to the Dean regarding approval of Schools of Medicine faculty promotion and/or tenure award proposals. Approved proposals are then forwarded to Personnel Records. Proposals denied at this level are returned to the Heersink SOM Dean's Office for appropriate action and/or follow-up as necessary. The President, Provost or Dean then notifies the Department Chairs and faculty regarding final approval of promotion and/or tenure award proposals.

#### **5.6.2. Out-of-Cycle Promotion for Tenure-earning Track and Non-tenure Track**

Except for promotions from Instructor to Assistant Professor, which can occur throughout the year, departments may in rare cases seek promotion of a faculty member outside of the annual Faculty Council meeting or prior to the first five-year eligibility requirement. An example would be a retention response for a Heersink SOM faculty member being recruited to another institution, where the timing of promotion would necessitate prompt action. In these situations, the Heersink SOM Promotion and Tenure Management Portal provides an option for an out-of-cycle review. Out-of-cycle promotions must be organized the same way as the annual promotion packets. The primary differences are the department should provide a cover letter explaining the request for an out-of-cycle promotion, which should include details regarding the appointment (rank and tenure status) being offered by another institution and the proposed effective date of the out-of-cycle promotion.

### **5.7. Heersink SOM Process for Appointment and Promotion for Academic Clinician Track**

#### **5.7.1. Appointment Process for Academic Clinician Track Faculty**

Initial appointments to the Heersink SOM may occur throughout the year and all appointments to the Academic Clinician Track above the rank of Clinical Assistant Professor require prior review by the Clinical Faculty Council. Instructions on the composition of the prior review packets will be provided to the departments by the Dean's Office of the Heersink SOM. The criteria outlined for the Academic Clinician

Track for promotion within the institution will also apply to new hires being assessed through the prior review process.

### **5.7.2. Promotion of Academic Clinician Track Faculty**

For this track, promotion to Clinical Instructor and Clinical Assistant Professor do not require review by the Clinical Faculty Council. Promotion to the rank of Clinical Associate Professor and Clinical Professor require full department-level review (Department Clinical Appointment and Promotion Committee) and school-level review (Clinical Faculty Council).

Faculty promotion on the Academic Clinician Track is based on a faculty member's training, experience, and activities. Faculty must demonstrate excellence in the area of service in the form of patient care for this track.

A faculty member's achievements will be evaluated using the academic clinician criteria in the Heersink SOM Faculty Handbook. Promotion candidates will be reviewed by similar clinical colleagues.

The promotion guidelines for the Academic Clinician Track will be provided annually by the Heersink SOM.

### **5.7.3. Out-of-Cycle Promotion of Academic Clinician Track Faculty**

Except for promotions from Instructor to Assistant Professor, which can occur throughout the year, departments may in rare cases seek promotion of a faculty member outside of the annual Clinical Faculty Council meeting or prior to the first five-year eligibility requirement. An example would be a retention response for an Academic Clinician Track faculty member being recruited to another institution, where the timing of promotion would necessitate prompt action. In these situations, the Heersink SOM Academic Clinician Track Promotion Management Portal provides an option for an out-of-cycle review. Out-of-cycle promotions must be organized the same way as the annual promotion packets. The primary differences are that the department should provide a cover letter explaining the request for an out-of-cycle promotion, which should include details regarding the appointment (rank) being offered by another institution and the proposed effective date of the out-of-cycle promotion.

## **6. SCHOLARSHIP DEFINED**

Heersink SOM has a multifaceted mission that includes providing healthcare, conducting research, applying new knowledge to improve healthcare and delivery, and educating healthcare providers, masters and doctoral level students, etc. This mission requires the commitment of a diverse faculty who are engaged in a full range of scholarly activities. As articulated in contemporary conceptualizations of scholarship, this range of activities includes the scholarship of discovery, application, teaching, and integration. The scholarship of discovery, teaching, and application relates directly to the Heersink SOM's major missions in research, teaching, and service. The scholarship of integration is related to all three areas and should be considered relative to contributions in the three primary areas.

While overlap may exist, a distinction exists between scholarly activity and scholarship. For example, delivering a good lecture in a medical school course is expected of a faculty member and is an example of scholarly activity. To qualify as scholarship in teaching, it is expected that the faculty member publicly disseminates the development of new courses, curriculum, and/or approach to teaching through publication or website posting. In service, a distinction can be made between one faculty member who provides competent clinical care and another who is viewed as an authority in a specific area of clinical medicine. Scholarly activity in research includes delivery of scientific presentation at regional, national, and international meetings or universities. Scholarship in research is achieved through peer reviewed publication of newly developed techniques, methods, or novel scientific discoveries. Application of the same method in support of the research mission of the Heersink SOM might be an example of scholarship in service if this method was judged by the faculty member's peers to be integrally important to the research mission.

Provided below is articulation of Scholarship at Heersink SOM, which is derived from an expanded view of scholarship set forth in Dr. Ernest L. Boyer's book *Scholarship Reconsidered* (Glassick, C.E., Huber, M.T., Maeroff, G.L., Scholarship Assessed: Evaluation of the Professoriate. Carnegie Foundation for the Advancement of Teaching, 1997.). It is hoped that this statement will inform both the career development of faculty at Heersink SOM and the process of making decisions regarding appointments, promotion, and tenure. Boyer's expanded view of scholarship includes the following:

#### Scholarship of Discovery

"... the scholarship of discovery... comes closest to what is meant when academics speak of "research." No tenets in the academy are held in higher regard than the commitment to knowledge for its own sake, to freedom in inquiry and to following, in a disciplined fashion, an investigation wherever it may lead... Scholarly investigation... is at the very heart of academic life, and the pursuit of knowledge must be assiduously cultivated and defended."

#### Scholarship of Teaching

"When defined as scholarship... teaching both educates and entices future scholars. As a scholarly enterprise, teaching begins with what the teacher knows... Teaching is also a dynamic endeavor involving all the analogies, metaphors, and images that build bridges between the teacher's understanding and the student's learning... Further, good teaching means that faculty, as scholars are also learners... In the end, inspired teaching keeps the flame of scholarship alive... Without the teaching function, the continuity of knowledge will be broken and the store of human knowledge dangerously diminished."

#### Scholarship of Application

"The third element, the application of knowledge, moves toward engagement as the scholar asks, 'How can knowledge be responsibly applied to consequential problems? How can it be helpful to individuals as well as to institutions?'... To be considered scholarship, service activities must be tied directly to one's special

field of knowledge and relate to, and flow directly out of, this professional activity. Such service is serious, demanding work, requiring the rigor – and the accountability – traditionally associated with research activities.”

### Scholarship of Integration

“By integration, we mean making connections across the disciplines, placing the specialties in larger context, illuminating data in a revealing way, often educating non-specialists, too... Today, interdisciplinary and integrative studies, long on the edges of academic life, are moving toward the center, responding both to new intellectual questions and to pressing human problems. As the boundaries of human knowledge are being dramatically reshaped, the academy surely must give increased attention to the scholarship of integration.”

## **7. FACULTY TERMINATIONS**

### **7.1. Resignation**

Please refer to the [UAB Faculty Handbook](#) and the [You and UAB Handbook](#) (section 6.1.).

### **7.2. Retirement**

Please refer to the [UAB Faculty Handbook](#) and the [You and UAB Handbook](#) (section 6.3) for information regarding retirement programs.

### **7.3. Termination for Cause**

Please refer to the [UAB Faculty Handbook](#) for additional information.

## **8. GRIEVANCE PROCEDURE**

For University-wide grievances please refer to the [UAB Faculty Handbook](#).

SOM Faculty Grievance Procedures are provided below and are available in the Heersink SOM Guidelines for Faculty Personnel Actions. These procedures do not apply to UAB voluntary, UAB irregular, or UAB adjunct faculty.

A faculty member may utilize the following procedures to seek redress for a grievance, defined in the UAB Faculty Handbook as an “action or decision that has materially and/or adversely affected his or her professional faculty capacity at UAB and appears to have been reached unfairly, improperly, or in violation of University policy.” See Section 2.19 of the [UAB Faculty Handbook](#). Certain actions or decisions, however, may be subject to review pursuant to policies or procedures other than these grievance procedures, or are otherwise excluded as matters for which grievances may be filed, as provided in the UAB Faculty Handbook. The SOM adheres to those exclusions. Faculty members contemplating filing a grievance should first carefully review the relevant sections of the UAB Faculty Handbook to ascertain that these procedures are the appropriate avenue for resolution of their particular grievance.

The first step in the SOM grievance procedure is that the faculty member must seek an informal resolution with his or her immediate supervisor. The faculty member should seek informal resolution immediately but no later than thirty (30) days after the action or

decision, as defined above, forming the basis for the grievance is made. If the faculty member is unable to reach an informal resolution within thirty (30) days, the faculty member may submit a written complaint to the relevant Center Director or Department Chair. The written complaint must be submitted within ten (10) days after the completion of the informal resolution process. Grievances filed more than ten (10) days after the conclusion of the informal resolution process will not be considered. Upon receiving a timely submitted written grievance, the responsible Center Director or Department Chair will respond in writing to the grievance within thirty (30) days.

If the grieving faculty member is dissatisfied with the Center Director's or Chair's response to the grievance, then he or she may submit the grievance in writing to the Dean of the SOM. Off-site campus grievances should initially be submitted to the campus regional Dean following the procedures outlined at that location. The written complaint to the Dean of the SOM must be filed within ten (10) days of the date of the final written response from the responsible Center Director, Chair, or Regional Dean. Grievances filed more than ten (10) days later will not be considered by the Dean.

The Dean will make every effort to investigate and address the grievance in writing within 30 days. Within thirty (30) days, a preliminary written response will be provided to the faculty member by the Dean if the investigation is ongoing. The Dean may, in his or her sole discretion, extend an investigation beyond the initial thirty (30) day period as necessary to ensure the integrity and completeness of the investigation, to accommodate delays by the parties, account for University breaks or vacations, or to address other legitimate reasons, including the complexity of the matter (such as the number of witnesses and volume of information provided by the parties). The Dean reserves the right to delegate the grievance investigation and subsequent written response to another appropriate administrator. The Dean will provide a final response no later than ninety (90) days after the receipt of a written complaint. The decision by the Dean to any such grievance is the final decision for the SOM.

After receiving a final written response to the grievance from the Dean, the faculty member may, if he or she believes the grievance has not been resolved to his or her satisfaction, file a formal written grievance with the Provost, as described in the UAB Faculty Handbook. The appeal to the Provost must be filed within ten (10) days after the final decision by the Dean. The decision by the Provost to any such grievance is final.

## **9. ANNUAL FACULTY EVALUATIONS**

Please refer to the [UAB Faculty Handbook](#). In cases where faculty disagree with their annual performance evaluation, please refer to the Heersink SOM's appeals process below.

- 1) The faculty member who disagrees with their annual performance evaluation must submit via email a written rebuttal of the evaluation and request for reconsideration to the Department Chair within 10 business days of receiving their annual performance evaluation.
- 2) Upon receipt of the request, the Department Chair should consider the request. If the decision is made to stand by the original evaluation and/or if the issue cannot

be resolved at the department level, the Department Chair should email the original evaluation, provide a brief explanation for the decision, and the rebuttal from the faculty member to the Associate Dean of Faculty Affairs & Development in the Heersink SOM.

- 3) The Associate Dean of Faculty Affairs (or their designee) will review the information provided. If needed, the Associate Dean of Faculty Affairs, at their discretion, may schedule a meeting with the employee and/or the Chair.
- 4) The Associate Dean of Faculty Affairs (or their designee) will make a recommendation to the Dean of the Heersink SOM.

The Dean's decision's is final. Annual performance reviews are not subject to any further review.

## **10. REAPPOINTMENT AND NON-REAPPOINTMENT OF NON-TENURE EARNING FACULTY**

For reappointment and non-reappointment of non-tenure faculty, please refer to the [UAB Faculty Handbook](#).

## **11. HEERSINK SOM FACULTY COMMITTEES**

For a list of Heersink SOM committees, please refer to this website – <https://www.uab.edu/medicine/home/faculty-staff/committees>.

## **12. FACULTY RIGHTS AND RESPONSIBILITIES**

Please refer to the [UAB Faculty Handbook](#) for [Rights](#) and [Responsibilities](#).

## **13. BENEFITS**

### **13.1. UAB**

Location:

701 20th Street South

270 AB

Birmingham, AL 35294 - 0102

Phone: 205.934.3458

Fax: 205.975.7402

Email to: [\*\*Benefits@uab.edu\*\*](mailto:Benefits@uab.edu)

For information of benefits available to employees please see [UAB Benefits website](#). Information may also be found in the [UAB Faculty Handbook](#) (section 4) and the [You and UAB Handbook](#) (section 3).

### **13.2. On-the-Job Injury/Illness Program**

Please refer to the [UAB Faculty Handbook](#) (section 4.3).

### **13.3. Health Services Foundation**

Location:



500 22<sup>nd</sup> Street South  
JNWB 408  
Birmingham, AL 35294 – 0500  
Phone: 205-996-4392

For more information please refer to the HSF Benefits web site [www.uab.edu/hrintouch](http://www.uab.edu/hrintouch).

#### **14. UAB Enterprise Code of Conduct**

The UAB Enterprise Code of Conduct sets forth the standards of behavior expected of all UAB community members. Please refer to [UAB Policies and Procedures Library](#) to access and review the UAB Enterprise Code of Conduct.

### **15. RESEARCH COMPLIANCE AND POLICIES**

#### **15.1. UAB Enterprise Conflict of Interest Conflict of Commitment**

UAB is committed to conducting its activities in ways that promote and maintain public trust and sets forth requirements for employees and other designated individuals in identifying and managing conflicts of interest and conflict of commitment.

Employees are prohibited from using their positions to influence UAB's business, academic, administrative, research, or other decisions in a manner that could lead to personal financial gain or advantage for the employee or for the employee's family or business. Certain employees are required to disclose financial interests related to their institutional responsibilities.

For more information, please refer to the [UAB Enterprise Conflict of Interest and Conflict of Commitment Policy](#), [the UAB Faculty Handbook](#), [the Office of Compliance and Risk Assurance website](#) and the [Conflict of Interest Review Board \(CIRB\) website](#).

#### **15.2. Human Subjects in Research**

The UAB Office of the Institutional Review Board (IRB) oversees all research conducted at UAB or by UAB faculty, staff and students that involves human subjects (including data and specimens of human origin).

The Office of the IRB provides administrative support to the UAB IRBs, and regulatory support to the UAB IRBs and research community. The IRB can approve, require modifications, or disapprove all research activities that fall within its jurisdiction.

The IRB's aim is to ensure that research involving human participants is conducted in an ethical manner. This includes ensuring that risks to participants are minimized, the selection of participants is equitable, and participants are informed fully of what their participation will entail and of the potential risks and benefits, such that they can make an informed decision whether or not to participate in research.

For information concerning the involvement of human subjects in research at UAB, please refer to the IRB website at <https://www.uab.edu/research/home/irb>.



Applications for the conduct of research are submitted to the IRB via IRAP, the Integrated Research Administration Portal. Additional information and instructions for use of IRAP can be found at <https://www.uab.edu/research/home/irap-training/irb>. Certain forms, as well as consent and assent templates, can be found on the IRB website at <https://www.uab.edu/research/home/irb-forms>.

While certain research projects may be reviewed by an external IRB (either an independent IRB such as WCG IRB or Advarra, or that of a collaborating academic institution), the UAB IRB is required to review and maintain files on all research conducted within the institution. This includes the industry-sponsored protocols that may be reviewed by an external IRB. Additional information on review by external IRBs is found on the IRB website under the Single IRB (<https://www.uab.edu/research/home/single-irb>) and WCG IRB (<https://www.uab.edu/research/home/uab-wirb>) tabs.

In certain circumstances, the UAB IRB will review for other sites under a Single IRB arrangement. It is imperative that investigators wishing to utilize the UAB IRB as a Single IRB coordinate with the UAB OIRB for planning and budgetary purposes prior to proposal submission.

### **15.3. Use of Animals in Research**

#### **15.3.1. Institutional Animal Care and Use Committee (IACUC)**

The Institutional Animal Care and Use Committee (IACUC) office is responsible for maintaining proper record-keeping required to ensure clear accountability for the quality of the program, proper record-keeping for the issuance of approval of use of vertebrate animals (and invertebrate animals), and ensuring that the laws governed by the Public Health Service (PHS)/Office of Laboratory Animal Welfare (OLAW), United States Department of Agriculture (USDA), and the American Association for Accreditation of Laboratory Animal Care (AAALAC) are followed.

All protocols requiring the use of animals must be reviewed and approved by the IACUC. This policy extends to all projects submitted for extramural funding, all internally funded research projects (including pilot studies), all testing, and any teaching involving the use of animals.

For more information please refer to the UAB [IACUC website](#).

#### **15.3.2. Animal Resources Program (ARP)**

Animal research at the UAB is accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC), is registered as a research facility with the United States Department of Agriculture (USDA), and has an Assurance of Compliance on file with the Public Health Service Office of Laboratory Animal Welfare (OLAW).

The Animal Resources Program (ARP) is the service unit that provides care for all animals required in research and teaching programs at UAB and affiliated hospitals.

Services provided by the ARP include:

- Animal procurement
- Daily care
- Quarantine, testing, health surveillance, and veterinary medical care
- Provision of facilities and personnel for procedures such as surgery, radiography, postoperative care, necropsy, and diet preparation
- Assuring compliance with animal use laws and policies
- Assisting with research and teaching programs that use animals

For more information, please refer to the UAB [ARP website](#).

For printable forms and additional information, please refer to the [ARP forms website](#).

#### **15.4. Facilities and Administrative Rate Policy**

UAB is committed to ensuring that all Extramurally Funded Projects for Research, Instruction, Other Sponsored Activity, or any Other Institutional Activity conducted by UAB are classified appropriately and seek reimbursement of F&A at the applicable federally negotiated rate or an approved institutionally established rate. For additional information please refer to the [Facilities and Administrative Rate Policy](#).

#### **15.5. Policy Concerning Employee Falsification of UAB Records and Documents**

Falsification of UAB records or documents is prohibited. Any knowing or negligent misrepresentation of a material fact or any failure to make a complete disclosure of any requested information are causes for immediate discharge without notice or pay in lieu of notice for nonfaculty employees or termination for cause for faculty employees. Any exception to the immediate and automatic discharge of nonfaculty employees for these reasons must be approved in writing by the Chief Human Resources Officer. Any exception to the recommendation of termination for cause for faculty for these reasons must be approved in writing by the Provost and by the Chief Human Resources Officer. Refer to the [Employee Falsification of UAB Records and Documents](#) policy for additional explanation.

#### **15.6. Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities**

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

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

It is the responsibility of each UAB employee to accurately document information related to work practices. All faculty members must be aware of and comply with the policy [Concerning Employee Falsification of UAB Records and Documents](#). For the complete policy please refer to [Policy Concerning the Responsible Conduct of Research and Other Scholarly Activities](#)

### **15.7. Authorship Policy**

This policy describes essential considerations and requirements in responsible authorship and publication and protects the interests of UAB authors in the scientific and scholarly process. For the complete policy, please refer to the [UAB Authorship Policy](#).

### **15.8. Patent Policy**

UAB encourages the procurement and licensing of patents for inventions in the interest of the public, the inventor, and the university. The Bill L. Harbert Institute for Innovation and Entrepreneurship serves as the university hub for innovations developed by faculty and staff. Their [website](#) includes information, resources, and FAQs regarding patents and licensing agreements.

Please refer to [UAB Patent Policy](#) and the [Ownership for Intellectual Property Rights](#) in the UAB Faculty Handbook for additional information.

### **15.9. Copyright Policy**

This policy clarifies rights and benefits (individual and institutional) associated with ownership of copyrights and intellectual property.

Please refer to [UAB Copyright Policy](#) and the [Copyright](#) section in the UAB Faculty Handbook for additional information.

### **15.10. Use of UAB Resources by External Entities**

Use of UAB resources by external entities is allowed only if UAB's costs are recovered and if the stipulations of this policy are followed.

For the complete policy please refer to [UAB Resources by External Entities](#)

### **15.11. Execution and Review of Contracts for UAB**

There are many forms under which contractual arrangements may be made between UAB and other parties. These range from a very informal letter of understanding to a very formal contract. The term “contract” as used in this policy encompasses all types of contracts, agreements, and similar documents that are signed by a UAB official and that commit UAB to a course of action, especially involving commitment of fiscal resources and expenditures. Questions concerning whether a specific type of contract, agreement, etc., should be processed using the stipulations in this policy should be directed to the University Contracts Office. All contracts/agreements should be executed on behalf of “The Board of Trustees of The University of Alabama for The University of Alabama at Birmingham.” When attestation is required (such as in the case of deeds or bond issue documents), the signature of the UAB official executing a contract or agreement should be attested to by the Secretary of the Board of Trustees.

Please refer to the [Execution and Review of Contracts for UAB](#) Policy and the [UAB Faculty Handbook](#) (section 3.15).

### **15.12. Laboratory Emergency Notification Labeling Policy**

From time to time, situations arise that require emergency personnel to enter various areas within the University. Many laboratories contain hazardous materials as well as valuable research materials, and it is important for UAB to provide a method for determining the contents of an area should the need arise to enter after hours.

For additional information please refer to [Laboratory Emergency Notification Labeling Policy](#).

### **15.13. Laboratory Closeout Policy**

Proper disposition of hazardous materials, non-hazardous materials, and equipment is required whenever a responsible individual (includes faculty, staff, students, and trainees) leaves the University or transfers to a different laboratory and is primarily the responsibility of the principal investigator or researcher to whom a laboratory is assigned. The ultimate responsibility for hazardous and non-hazardous materials management and equipment lies with each department. If improper management of materials at closeout requires removal services by the Department of Occupational Health and Safety (OH&S) or other units, the responsible department will be charged for this service. Any regulatory action or fines resulting from improper management or disposal of hazardous materials will accrue to the responsible department.

For procedural information on how to closeout and/or decommission a laboratory, please refer to the [Environmental Health and Safety website](#).

### **15.14. Guidelines for Purchase of Grant and Contract Equipment at UAB**

Capital equipment at UAB is generally defined as equipment that has a useful life of at least one year and has an acquisition cost of \$5,000 or more per item. All capital equipment purchased from funds disbursed by UAB accounts are the property of UAB unless otherwise stipulated in writing by the grant or contract sponsor.

For UAB guidelines concerning the purchase, lease, trade-in, use of start-up funds, cost sharing, and fabrication of equipment, please refer to the [Financial Affairs website](#).

## **16. TRAVEL (FOREIGN AND DOMESTIC) FOR UAB PURPOSES**

### **16.1. Foreign Travel**

Foreign travel is defined as any UAB-related travel outside of the United States, United States territories and possessions (also known as “United States Insular Areas”), and Canada (see form). Employee University-related travel is defined as any travel authorized to be paid from, or reimbursed through, any UAB account, regardless of funding source. For UAB-related activity performed outside of UAB, faculty are required to submit a leave request in the UAB’s Campus Time & Attendance system.

#### **Exclusions**

- Foreign travel that is undertaken by UAB employees for such things as professional activities when the foreign travel is not paid for by UAB or when the external agency paying for the foreign travel is not UAB-related and does not require institutional approval

- Vacation or personal foreign travel

### Procedures for Obtaining Appropriate Foreign Travel Approval

Submit an online UAB-related International Travel Registration [Form](#).

The steps for registration of University employee international travel are as follows:

- The University employee completes and submits the online UAB-Related International Travel Registration Form prior to travel. Pre-registration allows the traveler to identify funds proposed to cover expenses and meet all appropriate standards and guidelines. In addition, such pre-registration provides UAB with itinerary information in case of an emergency abroad. It is recommended that travelers submit forms no later than 7 days before departure to allow sufficient time for review.
- Relevant department/unit representatives, school deans, library directors, Vice President/Provost of UAB, and President, or their respective delegates review the form for purposes of authorizing UAB business purpose and funding of travel.
- If a sponsoring agency is a source of funding for the international travel, the traveler, with the Principal Investigator, must ensure all necessary sponsor approvals have been secured through the Office of Sponsored Programs.
- If the travel is to accompany an undergraduate student on Class A or B Study Away or a graduate student on Class A Study Away, the Office of Study Away reviews the form, accounts for travel accident insurance expenses, and approves/disapproves the travel.
- Traveler receives an automated e-mail when the online international travel registration form is complete at all levels. A copy of the e-mail should be attached to travel reimbursement forms, conference registration fee requisitions, airline ticket requests, or any other payment/reimbursement requests related to international travel.
- If the traveler holds national security clearance, the Facilities Security Officer receives an automated notification e-mail when the online international travel registration form is complete at all levels.
- The Office of the Vice President for Financial Affairs and Administration accesses the international travel registration database to ensure appropriate approvals have been obtained before payment/reimbursement is processed.

### **16.2. Domestic Travel**

For information regarding UAB policy for domestic travel and reimbursement to the [UAB Financial Affairs website](#). For UAB-related activity performed outside of UAB, faculty are required to submit a leave request in the UAB's Campus Time & Attendance system.

## **17. KEEPING IN TOUCH**

The Dean of the Heersink SOM is committed to ongoing engagement with faculty, staff, and students. As part of the Dean's engagement strategy, he attends department faculty meetings on an annual basis, meets with student learning communities each month, holds monthly faculty "lunches with the Dean" to hear from faculty regarding specific topics

and consistently tours school facilities to learn about opportunities for improvement as well as to meet faculty and students in their labs and teaching spaces. In addition, the Dean presents an annual “State of the School” address in January, at which time he shares achievements of the past year and his vision for the coming year. This presentation is live-streamed for those unable to attend in person and also archived on the Heersink SOM website. As part of his role on the Joint Operating Leadership Council (JOLC), the Dean also takes part in quarterly faculty town halls to share news and milestones and hear feedback and questions from faculty. The Dean participates in medical student orientation and celebrates with faculty and students at the annual white coat ceremony, match day and graduation ceremonies. He shares news from his office as well as information about key initiatives and strategies each month through his monthly message in the Heersink SOM newsletter.

For those who prefer to share thoughts with him anonymously, there is a button on the Heersink SOM website that enables an anonymous direct e-mail to the Dean. In addition, a survey is fielded annually in the summer for faculty to anonymously share feedback and ideas regarding communication from the Dean’s Office and Dean’s leadership team. This survey gives the Dean an opportunity to ask specific questions related to his office and leadership team and also build on feedback received in the annual UAB Medicine-wide Faculty and Employee Engagement Survey.

## **18. VERIFICATION OF EDUCATION AND TRAINING**

All faculty members must have on file an official transcript of terminal degree and certification of education and training by an external agency if degree was earned from a foreign institution. For clinical faculty a copy of the ECFMG Certification or AMA verification may be used. The Southern Association of Colleges and Schools (SACS) requires this documentation be kept on file in the Sr. VP and Dean’s Office. This documentation must be on file prior to date of completion of appointment.

## **19. FACILITIES**

### **19.1. Libraries**

#### Lister Hill Library of the Health Sciences

Lister Hill Library of the Health Sciences, Alabama's largest biomedical library, provides services and resources for students, research and teaching faculty, and clinicians in medicine, nursing, optometry, dentistry, public health, health professions, and joint health sciences. Access to a variety of resources and services is available both on and off campus to UAB faculty, staff, and students. Visit the LHL website or call 205-934-2230 for more information.

The **Lister Hill Library at University Hospital** located in the West Pavilion provides onsite support for education, research and patient care. Access resources and services for clinicians at the **LHL@UH website** . Please call 205-9342275 for more information.

#### Mervyn H. Sterne Library



The Sterne Library houses a collection of more than one million items that supports teaching and research in the arts and humanities, business, education, engineering, natural sciences and mathematics and social and behavioral sciences. Sterne Library also provides electronic access to the contents of more than 35,044 serials and 72,000 electronic books.

Visit the Sterne Library website for information about any of its services and facilities or call Reference Services, 205-934-6364, or User Services, 205-934-4338.

#### Reynolds-Finley Historical Library

The Reynolds-Finley Historical Library is a nationally respected collection of rare and important books, manuscripts, and artifacts in the medical sciences, including an extensive collection of items relating to Civil War medicine, and practices of the nineteenth century. Learn more about its collections at the Reynolds-Finley Historical Library website.

### **19.2. Research Centers**

To be designated a University-wide Interdisciplinary Research Center, centers must demonstrate sponsorship from more than two UAB schools. Applicant centers are evaluated by the University's Research Advisory Group on substantive interdisciplinary faculty involvement; provision of research infrastructure; contribution to the intellectual environment so as to enhance faculty and student recruitment, development and retention; a financial base to support center and core activities; internal and external review processes to assure quality and productivity; and leadership in the integration of research and service including community outreach or partnerships. Centers receiving this designation are funded for three years at varying levels, with 70% coming from the Deans' share of indirect expense recovery and from the sponsoring schools (a minimum of 30%).

For a list of University-wide Interdisciplinary Research Centers, please refer to this [website](#).

### **19.3. Office of Sponsored Programs (OSP)**

For information and printable forms please refer to the [OSP website](#).

## **20. EFFORT REPORTING**

The purpose of effort reporting is to comply with federal government mandates to ensure the proper charging of labor costs to federally and non-federally sponsored activities at the University of Alabama at Birmingham (UAB). This includes salaries, wages, and benefits.

For more information please refer to the Financial Affairs Effort Reporting [website](#), the UAB [Effort Reporting Policy](#) and [Effort Reporting Procedures](#). To schedule classes regarding effort reporting in Oracle, please see Organizational Learning & Development's [Campus Learning System](#) to access Effort Reporting education and training.

## **21. PATENT AGREEMENT**

New hires at orientation are now asked to read the UAB Patent Agreement via the [Campus Learning System](#), and register on line with a BlazerID and password that they have reviewed it. This review and registration will occur once new hires arrive at their departments to begin work. New faculty and staff are required to complete this policy process.

## **22. NEPOTISM POLICY**

This policy states that UAB employees must refrain from employment decisions and evaluations involving immediate family members or another UAB employee who resides in the same household. Please refer to the [UAB Faculty Handbook](#) or reference HR Policy 123.

## **23. DEVELOPMENT AND OWNERSHIP OF DIGITAL MEDIA AND SOFTWARE**

This policy acknowledges the widespread development of intellectual property related to computer software, databases, and digital media, and directs faculty to UAB's Faculty Handbook policy on Ownership of Intellectual Property Rights.

Please refer to the [UAB Faculty Handbook](#).

## **24. DATA PROTECTION AND SECURITY POLICY**

Deliberate, unauthorized attempts to access or use UAB's computers, computer facilities, networks, systems, programs, or data, or unauthorized manipulation of the above is a violation of UAB policy. Please refer to the [UAB Faculty Handbook](#) and the [UAB Data Protection and Security Policy](#).

## **25. ACCEPTABLE USE OF COMPUTERS AND NETWORK RESOURCES**

UAB prohibits the unauthorized or illegal copying and obtaining of computer software and the use of unauthorized or illegally copied or obtained computer software. UAB computer and network devices may only be used for work related to the university or for other approved activities. If these resources are used for destructive, disruptive or illegal activities, the right to use these resources may be revoked.

Please refer to the [UAB Faculty Handbook](#) and the [UAB Acceptable Use of Computer and Network Resources Policy](#).

## **26. HEALTH INSURANCE PORTABILITY & ACCOUNTABILITY ACT (HIPAA)**

As a Heersink SOM employee it is mandatory that Health Insurance Portability & Accountability Act (HIPAA) training is completed. Please refer to the HIPAA website (<https://www.uab.edu/compliance/areas-of-focus/privacy>) for online training and information.

## **27. GENERAL INFORMATION**

### **Parking**

Please refer to the [You and UAB Handbook](#) (section 3.6.1) and the Parking and Transportation Services [website](#).



### **Employee Discounts**

Please refer to the UAB Human Resources [Website](#).

### **Hospital Paging**

Please refer to the UAB Call Center web site <https://www.paging.uab.edu/>.

### **Copy Services**

Please refer to the [Copy Services website](#).

## **28. RESEARCH PROGRAMS**

Please refer to the [Heersink SOM Research Program website](#).

## **29. EMPLOYEE LEAVES OF ABSENCE**

### **29.1. Family and Medical Leave of Absence**

This policy discusses Family and Medical Leave of Absence benefits for UAB faculty members. Please refer to the [UAB Faculty Handbook](#) and The Family and Medical Leave of Absence Policy.

### **29.2. Military**

Please refer to the [UAB Faculty Handbook](#) and the [Other Paid Leave Policy](#).

### **29.3. Personal**

Please refer to the [UAB Faculty Handbook](#) [and the You and UAB Handbook](#) ( Section 4.10).

### **29.4. Sabbatical**

Please refer to the [UAB Faculty Handbook](#).

### **29.5. Sick**

Please refer to the [UAB Faculty Handbook](#) and [You and UAB Handbook](#) (section 3.3.3).

### **29.6. Vacation**

Please refer to the [UAB Faculty Handbook](#) and the [You and UAB Handbook](#) (section 3.3.1).