

FACULTY POLICIES AND PROCEDURES HANDBOOK
UAB LIBRARIES

UNIVERSITY OF ALABAMA AT BIRMINGHAM

May 2021

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Approvals:



Chair, Faculty Affairs Committee, UAB Libraries

1/18/2022

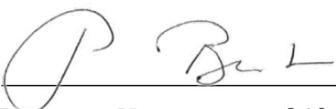
Date



Dean, UAB Libraries

1/18/2022

Date



Provost, University of Alabama at Birmingham

01/18/2022

Date

(Note: This page with signatures is on file in the UAB Libraries' Administration Office.)

History of the Document

The *Faculty Policies and Procedures Handbook* of the UAB Libraries was written in 2014 by the following members of the Faculty Affairs Committees of the Mervyn H. Sterne and Lister Hill Libraries:

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Approved by vote of the faculty of the UAB Libraries, February 2, 2015.

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PREAMBLE

The UAB Libraries *Faculty Policies and Procedures Handbook* provides information about matters unique to library faculty. This version of the Handbook was drafted following the merger of Mervyn H. Sterne Library and Lister Hill Library of the Health Sciences in 2014 and was reviewed and updated in 2020-2021. The Handbook does not repeat information in the *UAB Faculty Handbook and Policies* or the UAB Policies and Procedures Library. However, UAB policies and procedures are referenced where relevant.

The provisions of this document apply to all UAB Libraries faculty. This document is not intended as the sole indication of library or university policies concerning faculty issues. UAB policies affecting library faculty are also contained in the current versions of the *UAB Faculty Handbook and Policies*, *You and UAB Handbook*, and the UAB Policies and Procedures Library. By UAB policy, this document may be more rigorous and more specific than existing UAB policy, but not less. In all other possible conflicts between this document and any of the above UAB documents, or instances when this document is silent, the UAB documents will govern.

INTRODUCTION

The academic library is vital to the success of the university. It serves to expand the students' understanding of the intellectual world and provides resources with which teaching and research faculty may pursue their projects and research. As do members of other academic units, academic library faculty contribute toward the overall quality of education. Their participation in the transmission of knowledge is basic to any university's function.

The mission of the UAB Libraries is to provide the best information resources and services to support the teaching, research, scholarship, clinical, and community services missions of UAB. It accomplishes this mission through faculty and staff who have both the expertise and commitment to deliver all services required to support the highest quality of education, research, and clinical activities; high-quality information management and educational services; and facilities for the collection and services to meet the needs of students, faculty, staff, and other users.

The university merged Sterne Library and Lister Hill Library in 2014 under the direction of the first Dean of UAB Libraries. The merger created a single UAB Libraries organization to serve the entire UAB campus.

UAB Libraries is an academic unit of UAB as cited in section 1.2.2 of the [UAB Faculty Handbook and Policies](#). Acceptance of the libraries as an academic unit represents acceptance of library faculty as academic professionals at UAB.

Shared Governance

Faculty and administrators in the UAB Libraries will act in accordance with the Shared Governance statement passed by the UAB Faculty Senate at its April 12, 2011 meeting. This statement can be found in section 1.2.2.1 of the [UAB Faculty Handbook and Policies](#).

Participation in University Governance Forums

Library faculty are eligible for membership in the Faculty Senate and are eligible to serve on university committees. Faculty at or above the rank of Associate Professor are also eligible to serve on the university's Grievance and Termination Hearing Panel.

Revisions to this Document

This document should be reviewed periodically. Proposed revisions may be presented at any regular or special meeting of the library faculty. All full-time faculty with regular appointments will be notified in writing at least ten (10) working days prior to the time at which the revisions are to be considered for approval. For a vote to be conducted, a simple majority of all library faculty must participate; a two-thirds majority vote of participants is required for approval.

After approval by the faculty, the revisions will be forwarded to the Dean, who will within sixty (60) days forward the revised document to the Provost for final approval and will notify the faculty.

The Dean will promptly notify the faculty in writing of the Provost's decision. The revised document becomes effective upon approval by the Provost.

1. UAB LIBRARIES FACULTY RIGHTS AND RESPONSIBILITIES

1.1 Rights

All faculty with a primary appointment in the UAB Libraries are eligible to:

- Vote on faculty issues
- Serve on promotion committees
- Serve on search committees
- Serve on the Faculty Affairs Committee
- Serve on the UAB Faculty Senate
- Serve on library and university-wide committees
- Serve on the UAB Grievance and Termination Hearing Panel if at or above the rank of Associate Professor

All faculty with a secondary appointment in the UAB Libraries are eligible to:

- Vote on faculty issues
- Serve on promotion committees
- Serve on search committees

All faculty with an adjunct appointment in the UAB Libraries may vote on faculty issues.

1.2 Responsibilities

All faculty with a primary appointment in the UAB Libraries are expected to participate in the following performance categories:

- Effectiveness as a Faculty Member
- Scholarly Activity
- Service Activity

2. FACULTY AFFAIRS COMMITTEE

The Faculty Affairs Committee (FAC) will be entrusted to consider and make recommendations to the Dean of UAB Libraries concerning faculty personnel actions whenever library review is required and to present general advice and recommendations concerning faculty matters. Among other duties, the FAC, in consultation with the Dean and the Affirmative Action Officer(s), will be charged with the responsibility of ensuring adequate faculty personnel procedures in the UAB Libraries. If eligible, members of the FAC will serve on the Promotion Committee (see Section 7.2). The FAC will also hear grievances as outlined in Section 8.1.

The Chair of the FAC will convene a quarterly meeting for all library faculty, unless prevented by extenuating circumstances. More frequent meetings may be scheduled if necessary.

2.1 FAC Composition

The FAC will be composed of six (6) faculty members with primary appointments in the UAB Libraries: four (4) elected members; and two (2) members appointed by the Dean. The Dean may be invited to sit with the FAC but is not to serve on it.

The four (4) elected members of the FAC will serve four-year terms with the longest serving member rotating off the committee annually. The two (2) members appointed by the Dean will serve a one-year term. No member may serve consecutive terms. The length of this exemption will be the same length of time as the served term. The elected member with the most seniority on the FAC serves as the Chair, normally in his or her fourth year on the committee.

2.2 FAC Elections

For each election, the FAC Chair will prepare a ballot containing the names of all faculty eligible to fill the vacancy during the election cycle. (As service on the FAC is a responsibility, faculty may not request that their names be removed from the ballot except under extraordinary circumstances. Such a request requires approval of the Dean, who will notify the FAC Chair.)

The ballot will be distributed to all eligible faculty. Each faculty member will vote for one (1) person to fill the vacancy. The FAC Chair and the Dean will certify the results, and the person receiving the most votes will be elected. In case of a tie, a run-off will be held. The procedures outlined above will be followed for the run-off election. Elections will be held during the first week of May. The Dean will announce the results. The FAC will operate on the academic year calendar beginning August 1 and ending July 31.

2.3 FAC Vacancies

Should a vacancy occur during the year, a new election will be held according to the procedure outlined above. The newly elected committee member will serve for the remainder of the term of the person being replaced. If the vacancy is left by an appointed member, the Dean will appoint a new member to serve the remainder of the term.

3. ACADEMIC RANKS FOR LIBRARY FACULTY

Academic rank for library faculty confirms their position as a professional group within the academic sector of the university. Appointment at the ranks of Instructor, Assistant Professor, Associate Professor, or Professor requires a master's degree in library science from a school accredited by the American Library Association or academic credentials appropriate to the position.

3.1 Instructor

Appointment at the rank of Instructor is appropriate for individuals beginning their careers or having completed only a short period in a professional capacity. If promotion to Assistant Professor has not been granted by the completion of the third normalized year, a terminal appointment of one year will be granted.

3.2 Assistant Professor

Appointment at or promotion to the rank of Assistant Professor indicates demonstrated ability in librarianship and potential to make significant academic contributions. Individuals may be appointed at this rank at the time of initial appointment. Initial appointment at the rank of Assistant Professor normally requires a minimum of three (3) years relevant professional experience.

Appointments at this rank will be for three (3) years and may be renewed. Promotion to this rank will not normally be considered before the completion of two (2) consecutive years of service at UAB. Promotion from this rank to Associate Professor is not required.

3.3 Associate Professor

Appointment at or promotion to the rank of Associate Professor is appropriate for individuals whose performance and service have been consistently meritorious and who have demonstrated excellence in continuing development and accomplishment. Individuals holding this rank should have demonstrated the ability to make significant contributions to their profession. Such contributions should be of high quality and recognized as such outside the state. Further, the individual should show promise of continued professional growth. Individuals may be appointed at this rank at the time of initial appointment.

Appointments at this rank will be for five (5) years and may be renewed. Appointment to the rank of Associate Professor normally requires a minimum of six (6) years relevant professional experience. Promotion to this rank is normally awarded only after at least three (3) years of service at the Assistant Professor level. Promotion from this rank to Professor is not required.

3.4 Professor

Appointment at or promotion to the rank of Professor is appropriate for individuals whose professional performance and service have been consistently outstanding, who are recognized by regional and national library or scholarly organizations, and whose prominence in their field reflects their superior achievements. This position is the highest academic rank granted at UAB except for a limited number of University, Distinguished, or Endowed professorships. Individuals may be appointed at this rank at the time of initial appointment.

Appointments at this rank will be for five (5) years and may be renewed. Appointment to the rank of Professor requires the demonstration of nationally recognized professional excellence and a minimum of ten (10) years relevant professional experience. Promotion to this level normally requires at least three (3) years as an Associate Professor.

3.5 Emeritus Faculty

Appointments at this rank are initiated at the departmental level. See section 2.8.5 of the [UAB Faculty Handbook & Policies](#) for more information.

3.6 Non-Reappointment

Non-tenure-earning faculty at UAB Libraries are appointed for a specified length of time, as outlined in section 3 of this handbook. Decisions for non-renewal of an appointment require notice as specified in the UAB Faculty Handbook section 2.13.3. Non-tenure-earning faculty may be terminated for cause during an appointment as outlined in UAB Faculty Handbook section 2.13.5.

4. PROCESS FOR INITIAL APPOINTMENT

The process to recruit new faculty is initiated by the Dean upon completion of all UAB procedures outlined in section 2.12 of the [UAB Faculty Handbook and Policies](#).

4.1 Formation of the Search Committee

The ad hoc Search Committee is advisory to the Dean. In filling faculty positions, the Dean will select a Chair and appoint the members of the committee. The committee will be comprised of a minimum two-thirds faculty, with other library staff representation when appropriate. The supervisor for the position being filled should be selected to serve on the committee. At least one member of the Faculty Affairs Committee (FAC) will also serve on the committee. The Affirmative Action Officer(s) serves as an ex officio non-voting member of the committee.

The Dean will draft or delegate the drafting of the job advertisement in consultation with the committee and other appropriate faculty. In order to reach a state of transparency for potential applicants, each faculty recruitment advertisement should include rank(s), tenure status, whether the position is full-time or part-time and the appointment period, i.e. nine-month or twelve-month. See section 2.12 of the [UAB Faculty Handbook and Policies](#) and the [Advertising Content Requirements](#) for university policies regarding advertising faculty jobs.

4.2 Duties of the Search Committee

At the initial meeting of the committee, the Dean will provide it with its charge. The Chair will serve as the contact person for communication with applicants during the search process. Other members of the committee should contact applicants only with the approval of the Chair. The Chair is responsible for arranging on-campus visits (when possible) by the final candidates and will work with administrative staff in the Office of the Dean to coordinate all travel and schedule arrangements. The Chair is also responsible for soliciting feedback in a timely manner from faculty and staff not serving on the search committee. The UAB [Equal Opportunity and Discriminatory Harassment Policy](#) will be adhered to in all job searches.

All applications received should be forwarded to the Chair. The committee will meet to review the applications and to select the final candidates to be interviewed.

The applicant pool will remain confidential. Library faculty and staff not serving on the committee will have the opportunity to review the application material of those candidates selected for interview and to provide feedback to the committee.

4.3 Search Committee Resolution and Conclusion

- After the interview process has been completed, the committee will meet to discuss each candidate.

- The committee will make a recommendation to the Dean in accordance with UAB hiring practices and government regulations.
- The Dean will select a candidate for the position, from among the candidates selected by the committee, and notify the Chair in writing of the decision.
- The Dean will consult with the FAC to determine the recommended appointment rank (see Sections 3 and 5) and will prepare a letter of offer to be approved by the Provost and President of UAB.
- The letter of offer will be sent to the candidate. If the candidate accepts the offer, the President will issue a Certificate of Faculty Appointment.
- If the candidate declines the offer, the Dean, in consultation with the Search Committee, will select another candidate from the applicant pool or initiate a new search following the process outlined in this handbook.
- The Dean will notify the other interviewed candidates of the outcome of the search process.
- The Chair will notify all other applicants (except interviewed candidates) of the outcome of the search process.

For initial appointments at the rank of Instructor, the date which defines the start, and therefore the completion, of the required period for promotion to Assistant Professor begins on the October 1st following the date of appointment.

5. GUIDELINES AND CRITERIA FOR APPOINTMENT, EVALUATION, AND PROMOTION

Faculty are evaluated on the basis of criteria identified in the following major categories: (1) Effectiveness as a Faculty Member, (2) Scholarly Activity, and (3) Service Activity. The significance and weight of each criterion is determined by its relative importance to each academic rank, the type of appointment held by the faculty member, and the priorities of the UAB Libraries.

5.1 Effectiveness as a Faculty Member (See section 2.10.1 of the [UAB Faculty Handbook and Policies](#))

The faculty member's mastery and effectiveness within an area of specialization should be demonstrated and documented. Of the three major evaluation categories (i.e., Effectiveness as a Faculty Member, Scholarly Activity, and Service Activity), a high level of performance in this area is the most important criteria.

The components of a faculty member's professional responsibilities vary by department within the library. Thus, the requirements of the particular job (e.g., supervisory responsibility, subject specialization, instructional activities) should be considered in the evaluation. Nevertheless, many of the components of professional performance will be demonstrated by all. Effectiveness as a Faculty Member is defined as a demonstration of one's competence and knowledge in support of the missions and goals of the UAB Libraries and the university.

The primary criterion for evaluating performance in this area is fulfillment of primary assigned responsibilities. Examples of effectiveness in this category of performance may be found in the appendices.

5.2 Scholarly Activity (See section 2.10.2 of the [UAB Faculty Handbook and Policies](#))

Scholarly work may take many forms, including academic achievement, research, and creative activities.

While each faculty member should strive to develop a coherent pattern of progressive accomplishment, no individual should be penalized for evidence of changing or expanding interests. Changes may occur because of redefinition of job responsibilities, special assignments delegated by the library or university, or attempts by an individual to prepare for a possible job promotion. Examples of scholarly activities in this category of performance may be found in the appendices.

5.3 Service Activity (See section 2.10.3 of the [UAB Faculty Handbook and Policies](#))

Service functions can be those performed for the UAB Libraries, the university, the Birmingham community, the state of Alabama, or regional, national, or international groups. Examples of service activities in this category of performance may be found in the appendices.

6. ANNUAL FACULTY EVALUATIONS

Faculty with primary appointments in the UAB Libraries undergo an annual review process to assess their overall performance and accomplishments during the preceding year, to plan for future projects and goals, and to discuss possible concerns. The evaluation may be used to develop plans for improvement and to determine salary increases when funds are available to the UAB Libraries.

The Dean will initiate this process based on the timetable issued by the Office of the Provost. The procedures required for the annual evaluation correlate to the timetable.

Faculty should refer to Section 5 of this handbook, "Guidelines and Criteria for Appointment, Evaluation, and Promotion," when completing the annual evaluation documents. The Annual Faculty Evaluation Packet is included in appendices to this handbook.

6.1 General Procedures for Evaluations

Faculty in the first year of employment are evaluated for retention at the end of six (6) months.

All faculty in the UAB Libraries will be evaluated annually by their supervisor according to the following procedures:

- The Dean will initiate the evaluation procedure upon notification from the Office of the Provost and will provide the Provost's timetable to faculty.
- The faculty member will submit the Annual Faculty Evaluation Packet (see appendices) to his/her supervisor by the date specified in the timetable. Those faculty having direct reporting lines to the Dean will be evaluated by the Dean following these same procedures.
- The supervisor will complete an evaluation of the faculty member.
- The supervisor will schedule a meeting with the faculty member. At least three (3) business days prior to the meeting, the supervisor will provide the faculty member with a copy of the evaluation.
- Following the meeting, the faculty member has the opportunity to add written comments as part of the official record. Within three (3) business days of meeting, the faculty member will return a signed copy to the supervisor, thus acknowledging the completion of the annual evaluation process.
- The supervisor will submit the Annual Faculty Evaluation Packet (see appendices) to the Dean within thirty (30) days of the deadline provided in the Provost's timetable.
- The Dean will review the Annual Faculty Evaluation Packet of each faculty member. Faculty have the option of meeting with the Dean to discuss their annual evaluation.

- In instances where the university has provided a funding pool for salary increases, the Dean will communicate any increases to the faculty member.
- The faculty member will receive a copy of the completed Annual Faculty Evaluation Packet.
- Evaluation packets become a permanent addition to the faculty member's personnel file and are maintained in the UAB Libraries' Administrative Office.

Faculty who wish to be considered for promotion may discuss their request and obtain advice on preparing the promotion portfolio during the evaluation interview.

7. PROCEDURES FOR PROMOTION

See also section 2.11 of the [UAB Faculty Handbook and Policies](#), regarding “Procedures for Faculty Appointments, Reappointments, Promotions, and Awards of Tenure.”

7.1 General Procedures *(See the appendices for deadline dates.)*

- Step 1: The candidate will submit the “Request for Promotion” form to the Dean (see appendices). A letter of support from the candidate’s supervisor is encouraged.
- Step 2: The promotion portfolio is due in electronic format to the Dean.
- Step 3: Letters from external reviewers are due to the Dean.
- Step 4: The candidate may also submit a self-evaluation to his/her supervisor reflecting performance since the previous annual evaluation. The supervisor will complete the evaluation within fifteen (15) days and submit it to the Dean for inclusion in the promotion portfolio.
- Step 5: The Dean will call the first meeting of the Promotion Committee. The committee will elect a chair by simple majority vote and establish a schedule for future meetings.
- Step 6: The committee will submit a final recommendation to the Dean or request additional material through the Dean’s office. If additional material is requested, the committee will submit its final recommendation within fifteen (15) days.
- Step 7: The Dean will submit a written recommendation to the Office of the Provost and inform the candidate and the committee in writing of the decision.

7.2 Promotion Committee

The Promotion Committee is advisory to the Dean. It is responsible for reviewing and recommending all persons for promotion in the peer review process.

7.2.1 Composition of the Promotion Committee

The Promotion Committee will consist of one (1) faculty member selected by the Dean, three (3) eligible members of the Faculty Affairs Committee (FAC), and the Affirmative Action Officer(s) who serves as an ex officio non-voting member of the committee.

Individuals ineligible to serve on the Promotion Committee are:

- those below the rank the candidate is seeking
- the candidate’s immediate supervisor

Cases of potential conflict of interest may be reported to and addressed by the FAC.

If a sufficient number of FAC members are not eligible to serve, the FAC will appoint replacements from the remaining library faculty. In cases where the pool of internal faculty at or above the rank being sought for promotion is insufficient, the FAC will select additional members for the Promotion Committee from faculty currently holding a comparable rank at UAB or from library faculty at a four-year academic institution that uses the peer review process for promotion.

When possible, one (1) Promotion Committee will review all candidates for promotion in a given year. Should the committee not meet the eligibility requirements specified above for all candidates, an additional committee(s) will be formed that meet the eligibility requirements for the remaining candidate(s).

7.2.2 Duties of the Promotion Committee

All reviews by the Promotion Committee will be based on an objective appraisal of the candidate's performance based on the "Guidelines and Criteria for Appointment, Evaluation, and Promotion." In each case, the committee evaluates and weighs the meaningfulness of the candidate's contributions, ability to perform job responsibilities, and weighs the substance and quality of activities represented in the documentation. The documentation should be sufficiently detailed so that an objective appraisal is possible. Documents lacking in detail will be returned through the office of the Dean to the candidate for further elaboration.

7.2.3 Instructions to the Promotion Committee

- The committee will observe extreme discretion in its review actions so that confidentiality will be maintained. Violations of the confidentiality of these actions may subject the offending party or parties to strong disciplinary action. Please refer to the [UAB Code of Conduct](#) regarding expectations of confidentiality. Faculty who think their confidentiality has been breached may refer to the Grievance Procedure in Section 8 of this handbook.
- All original copies of personnel records, documents, etc., relating to a candidate's case will be kept in the office of the Dean.
- Committee members are responsible for destroying all working documents in their possession, including preliminary drafts, notes, e-mail, etc.
- The first meeting of the committee will be convened by the Dean. At this meeting, the committee will elect a Chair by simple majority vote. The Chair should be a member of the UAB Libraries faculty.

7.2.4 Instructions to the Chair of the Promotion Committee

The Chair is responsible for:

- Ensuring that all members of the committee read the sections of this handbook related to the promotion process (e.g., "Guidelines and Criteria for Appointment, Evaluation, and Promotion").

- Making the candidate's promotion documents available to all committee members in a secure electronic format.
- Requesting additional information or documentation through the Dean's office, if needed.
- Maintaining and securing all working documents created by the committee.
- Destroying all working documents of the committee including preliminary drafts, notes, etc.
- Submitting the committee's final report to the Dean, with a copy to the candidate. The report will include the candidate's name, the recommended action (promotion or denial), the summary report or statement that gives the reasons for the committee recommendation, and the minority report in cases involving a split decision. The names and signatures of the committee members will be shown as the last item of the report, with the Chair so designated.

7.3 Documentation

The Dean is responsible for requesting external reviewer letters from individuals listed by the candidate using the "External Reviewer Letter for Promotion" (see appendices) and is responsible for distributing appropriate materials to the reviewers.

All letters received by the Dean will be transferred directly to the candidate's promotion portfolio. The candidate may not review the letters. In cases of delay or no response, the Dean will request names of additional reviewers from the candidate.

The portfolio will contain the candidate's annual reviews for time in rank, a copy of the supervisor's letter, and any other supporting documentation, and will be organized in the order specified on the "UAB Faculty Promotion/Tenure Action Summary Form" from the Office of the Provost. This form will be attached as a cover to the promotion portfolio by the Office of the Dean and the completed portfolio forwarded to the Office of the Provost according to the timetable in the appendices. Instructions for preparing the portfolio, the action summary form, and other relevant information can be found on the [UAB Promotion and Tenure webpage](#).

The contents of the portfolio are not to be altered once the candidate submits it for consideration, unless the candidate and the Promotion Committee agree to the alterations.

7.4 Denial of Promotion

If an Assistant or Associate Professor is denied a promotion, the faculty member may reapply.

If promotion is denied by the Dean or the Provost, the faculty member may appeal according to the process outlined in section 2.17 of the [UAB Faculty Handbook and Policies](#).

8. OTHER RIGHTS AND RESPONSIBILITIES

8.1 Grievances

A grievance is defined in section 2.19 of the [UAB Faculty Handbook and Policies](#) as being, "... 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." Also included in section 2.19 is a list of what does not qualify as a grievance.

A library faculty member with a grievance may first approach the person against whom there is a grievance and seek a solution. If a satisfactory solution is not reached or the grievant for personal reasons does not wish to directly confront the charged party, an appeal should be made to the immediate supervisor of the grievant. If the grievance is against the faculty member's supervisor, the grievant should appeal to the Dean. If the grievance is against the Dean, the grievant should appeal using the procedure found in section 2.19 of the [UAB Faculty Handbook and Policies](#).

8.1.1 Filing a Grievance

If a satisfactory solution cannot be reached as outlined above, the faculty member will supply the FAC Chair with a written grievance which should state in detail (a) the facts from which the grievance arose, (b) the process followed to resolve the grievance, (c) the results of the preliminary attempt to solve the problem, and (d) a specific request for the relief sought.

8.1.2 The Grievance Committee

The FAC will serve as the Grievance Committee. If a member of the FAC is a party to the grievance or believes that he or she cannot render an impartial decision concerning the grievance, that member will withdraw. The grievant will be allowed to challenge the service of any member of the Committee who, in the opinion of the grievant, cannot consider the grievance impartially. Should the grievant choose to exercise this right, the grievant will notify the FAC Chair within five (5) business days of filing the grievance. If the FAC agrees by majority vote that an FAC member is unlikely to render an impartial decision, that member will be removed from the grievance committee. In the event a committee member is recused from the grievance proceedings, the Dean will appoint a faculty member in their stead.

8.1.3 Participant Responsibilities

See Appendix A of the [UAB Faculty Handbook and Policies](#).

8.1.4 Grievance Committee Procedure

The FAC Chair will call a meeting of the Grievance Committee within thirty (30) days of

receiving the grievance. At the first meeting the Committee will elect by simple majority vote its chair and will be charged with its duties by the Chair. For all other procedures see Appendix A of the [UAB Handbook Policies and Procedures](#).

The committee will decide by simple majority vote if the grievance has merit and inform the Dean of its decision in writing.

If the grievance is found to have merit, the Chair will notify the accused party within five (5) business days and provide copies of all documentation relating to the grievance.

8.1.5 Action by the Dean

The Chair will inform the Dean in writing of the committee's findings and recommendation(s). The Dean will make a decision and inform in writing both parties and the Grievance Committee Chair.

8.1.6 Final Action

If the decision is not satisfactory to the grievant, further grievance procedures, including filing a written grievance with the Provost, may be initiated in accordance with Appendix A of the [UAB Faculty Handbook and Policies](#).

8.2 Professional Development Release Time

The faculty member should consult with their supervisor before initiating this process.

Paid release time is a mechanism that permits library faculty to pursue professional activities in lieu of a formal sabbatical leave. Release time requests will be presented in writing to the faculty member's immediate supervisor or department head and the Dean of Libraries.

The supervisor or department head will submit the proposal with a recommendation to the Dean. The proposed release time will be granted or declined based upon the stated goals of the faculty member, the impact on the person's unit or department, and the impact on the operation of the UAB Libraries. Release time is not automatically granted and is at the Dean's discretion. The Dean has the final decision.

Requests must include:

- a statement of purpose,
- the period of the calendar year needed,
- an explanation of how the activity requested relates to goals,
- a tentative schedule, and
- the impact on other responsibilities.

APPENDICES

The documents in the appendices are provided for reference only and are not part of the preceding policies and procedures outlined in this handbook. Changes to the appendices need not go through the formal university approval process. Appendices to the *Faculty Policies and Procedures Handbook* of the UAB Libraries may be changed by a simple majority vote of the library faculty.

Appendix A. Performance Evaluation Guidelines

1. Effectiveness as a Faculty Member

This category covers the fulfillment of the faculty member's primary job responsibilities as they align with the strategic goals of the [university](#), UAB Libraries, and the faculty member's assigned department.

The following guidelines provide examples of effectiveness that should be demonstrated by all library faculty:

- Communicates effectively with colleagues and library users
- Demonstrates a user-centered service orientation
- Incorporates new ideas, methods, and technologies into library services and resources
- Anticipates and plans for current and future needs of library users and employees
- Demonstrates collaboration and teamwork
- Exhibits competence, creativity, and initiative in the performance of responsibilities
- Effectively prioritizes goals, projects, and tasks
- Manages time effectively to meet deadlines
- Demonstrates flexibility in adapting to change
- Consistently produces high-quality (e.g., accurate) work
- Identifies, analyzes, and creatively solves problems
- Demonstrates good professional judgment, organization, dependability, and willingness to assume responsibility
- Responds appropriately to suggestions and constructive criticism
- Exhibits knowledge of librarianship outside the faculty member's area of specialization
- Facilitates access to information and resources among library users
- Exhibits willingness to learn new skills or knowledge based on the needs of the library and its users

The following guidelines provide examples of representative activities that may be considered as fulfilling the Effectiveness as a Faculty Member evaluation category.

- Effectively managing and demonstrating knowledge of the access, acquisition, administration, support, and evaluation of print, digital, and electronic resources
- Exhibiting knowledge of all issues related to the lifecycle of electronic resources
- Evaluating and implementing the new descriptive metadata standards for cataloging, classification, development, and organization of print, digital, and electronic resources
- Evaluating existing tools and technologies, and investigating emerging technologies to identify potential uses for projects in UAB Libraries

- Understanding technical requirements to keep abreast of new research and development in the digital humanities and other areas related to digital collections
- Demonstrating effective training, supervision, and evaluation of library personnel
- Instructing students, staff, and faculty to encourage full use of the UAB Libraries and its resources
- Participating in UAB Libraries outreach, promotion, and marketing efforts
- Fulfilling primary job responsibilities
- Effectively providing access to materials and information
- Participating in bibliographic instruction programs by teaching, lecturing, and otherwise instructing students, staff, and faculty so as to encourage full use of the library and its resources
- Developing bibliographies, subject indexes, and other bibliographic aids in accordance with established standards
- Incorporating new technologies in information science into the operation of the library
- Applying bibliographic techniques to the acquisition, cataloging, classification, development, and organization of library resources
- Effectively developing library resources for the undergraduate, graduate, and research programs of the university
- Efficiently performing technical operations supporting instructional and research programs
- Planning strategies for current and anticipated use of library resources
- Effectively performing administrative assignments (e.g., special projects and reports)
- Effectively participating in activities and committees (including governance committees) that further the goals of the department or the library
- Exhibiting a broad knowledge of librarianship outside the faculty member's area of specialization

2. **Scholarly Activity**

The following guidelines provide examples of representative activities that may be considered as fulfilling the Scholarly Activity evaluation category.

- Publication (e.g., articles, books, book reviews, reports, literary works, artistic works)
- Presentations and exhibits at a local, state, and/or national level
- Unpublished contributions to the profession (e.g., resource reviews, special indexes and bibliographies, guides to using resources, handbooks for training personnel, manuals for departments within the libraries)
- Scholarly editorial activities
- Grant proposals
- Scholarly honors or awards on a local, state, and/or national level

- Completed academic study or continuing education coursework (e.g., conferences, workshops, educational programs, institutes, seminars) or additional earned degree in a field related to current or emerging duties and responsibilities
- Developing or teaching a term-length course for academic credit; developing or teaching a continuing education course; serving as a guest lecturer for an academic course
- Participation in grant-supported activities
- Scholarly web-based communication or instructional resources (e.g., blogs, research guides)
- Certification by and membership in relevant professional organizations
- Secondary faculty appointments
- Peer-review activities (e.g., grant applications, paper submissions, conference presentations, external review for promotion or tenure)
- Preparation of original exhibits and/or displays to promote the value of library's collections, services, and programs, and to educate the university community on important cultural and historical events
- Contribution to national cooperative cataloging and metadata programs

The quality, relevance, and originality of the individual's scholarly activities should be addressed.

3. Service Activity

The following guidelines provide examples of representative activities that may be considered as fulfilling the Service Activity evaluation category.

- Membership in and significant contribution to local, state, regional, or national professional and scholarly organizations (e.g., holding office, serving on committees, acting as discussion leader, organizing a conference or workshop)
- Serving on or chairing library committees
- Serving on or chairing university committees
- Service-oriented participation in UAB-sponsored programs, special projects for the university, or faculty and student organizations
- Serving on accreditation teams
- Serving as a consultant
- Serving on dissertation and/or thesis review committees
- Participation in community service activities as a private citizen or as a representative of the university and/or library (e.g., fund raising drives for charitable organizations)
- Service-based awards

Factors that may show noteworthy achievement include level, extent, and quality of participation.

Appendix B. Promotion Deadlines

Note: These dates are received from the Provost's Office and are subject to change.

- Jan 2: The candidate will submit the "Request for Promotion" form to the Dean (see appendices). A letter of support from the candidate's supervisor is encouraged.
- Feb 15: The promotion portfolio is due in electronic format to the Dean. Instructions for compiling promotion materials can be found on the [Provost's Faculty webpage](#).
- Feb 15: Letters from external reviewers are due to the Dean.
- Feb 15: The candidate may also submit a self-evaluation to his/her supervisor reflecting performance since the previous annual evaluation. The supervisor will complete the evaluation within fifteen (15) days and submit it to the Dean for inclusion in the promotion portfolio.
- Mar 1: The Dean will call the first meeting of the Promotion Committee. The committee will elect a chair by simple majority vote and establish a schedule for future meetings.
- Apr 1: The committee will submit a final recommendation to the Dean or request additional material through the Dean's office. If additional material is requested, the committee will submit its final recommendation within fifteen (15) days.
- Last week in May (date varies): The Dean will submit a written recommendation to the Office of the Provost and inform the candidate and the committee in writing of the decision.

Appendix C. Request for Promotion

Name of candidate:

Department:

Supervisor:

Present rank:

Years at this rank at UAB:

Rank requested:

Ranks previously held (specify institution, rank, and years of service):

<u>Institution</u>	<u>Rank</u>	<u>Years of Service</u>
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Reviewers (at least three, external to UAB, and qualified to evaluate the candidate's qualifications):

Include name, current title, and address.

1.

2.

3.

Signature of candidate: _____

Date: _____

Appendix D. External Reviewer Letter for Promotion

Confidential

[DATE]

[NAME]
Address

Dear [NAME]:

UAB Libraries is in the process of performing faculty promotion evaluations. [NAME] has applied for promotion to the rank of [RANK]. As part of the promotion process, candidates submit names of people outside of UAB who may be knowledgeable about their work and contributions to the profession and who could write a letter of evaluation. [NAME] has given your name as a reviewer.

The Promotion Committee will be considering [NAME]'s request for promotion beginning in [MONTH, YEAR], and would appreciate receiving your evaluation by [DATE]. Candidates are evaluated on the quality of their performance in three areas:

1. Performance as a Faculty Member,
2. Scholarly Activity, and
3. Service Activity.

Your comments concerning [NAME] with respect to these criteria will be helpful in the committee's decision. The material you submit will be reviewed only by the Promotion Committee, which includes library and non-library faculty.

For your convenience, a copy of [NAME]'s CV, the specific criteria for promotion of library faculty, and procedures related to the process are enclosed. Additional information about the promotion process is available in *UAB Faculty Handbook and Policies* (available at <https://www.uab.edu/policies/Pages/Faculty-Handbook.html>).

Please feel free to contact me should you have any questions pertaining to our criteria or procedures. You may send your evaluation via email [EMAIL] and USPS first-class mail.

Thank you for making this meaningful contribution to our profession.

Sincerely,

FACULTY POLICIES AND PROCEDURES HANDBOOK
UAB LIBRARIES

[NAME]

[TITLE]
