The University of Alabama at Birmingham

Southern Association of Colleges and Schools Commission on Colleges

Compliance Certification

September 2014
University Overview

The University of Alabama at Birmingham pursues the frontiers of education, research and health care within a bold, collaborative culture that strives to be first, best and one-of-a-kind.

Our story is one of remarkable growth in size, quality, reputation and impact. From humble beginnings as an extension center, UAB — which became an autonomous campus in 1969 — has grown to offer 137 degree programs in Arts & Sciences, Business, Dentistry, Education, Engineering, Health Professions, Medicine, Nursing, Optometry and Public Health.

We have helped transform Birmingham into a nexus of medicine, business, research and development with a thriving arts and cultural scene, and our 21st century campus channels all the energies and opportunities of its metropolitan home.

This dynamic living and learning environment inspires and nurtures achievement, social responsibility and enterprise, and UAB embodies a spirit of discovery that advances knowledge, solves real-world problems and drives economic development.

UAB’s impact on education, health care and quality of life cuts across classes, cultures and continents into inner-city classrooms, rural clinics and far corners of the globe, and our highly diverse faculty and students are embraced as citizens of the world.

Our strategic plan, UAB21, is our pledge to prepare our students and community for the challenges of a new world economy: global literacy, biotechnology and biomedical science, energy, transportation, materials engineering, information technology, computing security and entrepreneurship. These goals are fueling record enrollments, attracting exceptional faculty and strengthening community partnerships.

We approach the future with the same audacious vision that led our founders to dream big dreams and commit to this mission: To educate, advance research and discovery, care for the sick, respond to the needs of our community and use knowledge to establish Alabama as a progressive economic center that can change the world.

About this Report

This is the public version of the University of Alabama at Birmingham’s Compliance Certification for reaffirmation of accreditation by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). This version does not contain reference documents that were supplied to SACSCOC, and links are not accessible.
Part 1. SIGNATURES ATTESTING TO COMPLIANCE

By signing below, we attest to the following:

1. That The University of Alabama at Birmingham has conducted an honest assessment of compliance and has provided complete and accurate disclosure of timely information regarding compliance with the Core Requirements, Comprehensive Standards, and Federal Requirements of the Commission on Colleges.

2. That The University of Alabama at Birmingham has attached a complete and accurate listing of all programs offered by the institution, the locations where they are offered, and the means by which they are offered as indicated on the updated "Institutional Summary Form Prepared for Commission Reviews," and that the comprehensive assessment of compliance reported on the Compliance Certification includes the review of all such programs.

3. That The University of Alabama at Birmingham has provided a complete and accurate listing of all substantive changes that have been reported and approved by the Commission since the institution's last reaffirmation as well as the date of Commission approval.

Accreditation Liaison

Name of Accreditation Liaison: Gregg M. Janowski, Ph.D.

Signature

Date 28-Aug-14

Chief Executive Officer

Name of Chief Executive Officer: Ray L. Watts, M.D.

Signature

Date 28-Aug-14
<table>
<thead>
<tr>
<th>Approval Date</th>
<th>Description of Substantive Change</th>
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<tbody>
<tr>
<td>08-Sep-2008</td>
<td>Joint Curricular Venture, D.N.P. Program with University of Alabama and University of Alabama in Huntsville</td>
</tr>
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</table>
| 09-May-2012   | Relocation of following off-campus sites:  
  - from St. Bernard Preparatory School to West Elementary School  
  - from Green Valley Elementary School to Simmons Middle School  
  Establishment of off-campus sites (25-49% of degree):  
  - Jefferson State Community College  
  - King Fahad Specialist Hospital, Damman, Saudi Arabia  
  - Arab Academy of Science, Alexandria Egypt  
  - Housing and Building Center, Dokki-Giza, Egypt |
| 30-May-2012   | Notification of 50% or more online of the following programs:  
  - B.S. in Accounting  
  - Master of Accounting                                           |
| 02-Jul-2012   | Closures of the following programs: B.S. in Radiologic Sciences (Radiation Therapy), B.S. in Cytotechnology, B.S.Ed. in Special Education, and D.Sc. in Physical Therapy                                     |
| 21-Sep-2012   | Notification of 50% or more online of the following programs:  
  - Master of Engineering  
  - Master of Public Health  
  - Graduate Certificate in Sustainable Engineering  
  - Graduate Certificate in Public Health  
  - Graduate Certificate in Clinical Research Management          |
| 09-Oct-2012   | Relocation of off-campus site from West Elementary School to Cullman Area Career Center                                                                                                                                           |
| 13-Nov-2012   | Online Graduate Certificate in Health Focused Patient/Client Management program                                                                                                                                                     |
| 12-Feb-2013   | Notification of 50% or more online of the B.S. in Psychology program                                                                                                                                                              |
| 11-Mar-2013   | Notification of 50% or more online of the following programs:  
  - B.A. and B.S degrees in Economics,  
  - B.S. in Finance  
  - B.S. degree in Industrial Distribution  
  - B.S. degree in Information Systems  
  - B.S. degree in Management  
  - B.S. degree in Marketing                                        |
| 25-Sep-2013   | Retroactive conversion of D.S.N degree to Ph.D. in Nursing                                                                                                                                                                         |
| 8-May-2014    | Relocation of off-campus site from Simmons Middle School to Crossroads School                                                                                                                                                      |
| 8-May-2014    | Establishment of off-campus site offering 25-49% of medical degree, Montgomery regional Medical Center                                                                                                                           |
Part 3. CORE REQUIREMENTS, COMPREHENSIVE STANDARDS, AND FEDERAL REQUIREMENTS
2.1

**Degree-granting Authority**

The institution has degree-granting authority from the appropriate government agency or agencies.

**Judgment**

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

**Narrative**

The University of Alabama at Birmingham (UAB) is one of three autonomous universities in the University of Alabama System, which are governed by the Board of Trustees of the University of Alabama (the Board). The organization of the University of Alabama System is described in *Article V of the Bylaws of the Board of Trustees*. UAB has degree-granting authority through the Board and its underlying constitutional existence, applicable state law, and the Bylaws of the Board of Trustees.

The statutory corporate existence of the Board is established in the *Code of Alabama 1975 Sections 16-47-1 to 16-47-204*, and its constitutional status is recognized in the *Constitution of Alabama 1901, Article XIV, Section 264*, as amended by *Amendment 399*. UAB was established as an autonomous institution within the UA System in 1969 by *resolution of the Board of Trustees*.

*Alabama Code in Section 16-47-34* gives the Board the power to "confer such degrees as are usually conferred by similar institutions." The *Bylaws of the Board of Trustees in Article I, Section 6* list among the "Primary Functions of the Board" that it shall "Approve, upon recommendation of the Presidents, the earned degrees awarded."

**Sources** (In Order of Appearance)

- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 19)
- [PDF] *Code of Alabama 1975 Title 16 Chapter 47*
- [PDF] Constitution of Alabama 1901, Article XIV, Section 264, as amended by Amendment 399
- [PDF] Resolution of Board UAB Autonomous Campus 1969
- [PDF] *Code of Alabama 1975 Title 16 Chapter 47 Section 16-47-34*
- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 11)
2.2

Governing Board

The institution has a governing board of at least five members that is the legal body with specific authority over the institution. The board is an active policy-making body for the institution and is ultimately responsible for ensuring that the financial resources of the institution are adequate to provide a sound educational program. The board is not controlled by a minority of board members or by organizations or interests separate from it. Both the presiding officer of the board and a majority of other voting members of the board are free of any contractual, employment, or personal or familial financial interest in the institution.

A military institution authorized and operated by the federal government to award degrees has a public board on which both the presiding officer and a majority of the other members are neither civilian employees of the military nor active/retired military. The board has broad and significant influence upon the institution’s programs and operations, plays an active role in policy-making, and ensures that the financial resources of the institution are used to provide a sound educational program. The board is not controlled by a minority of board members or by organizations or interests separate from the board except as specified by the authorizing legislation. Both the presiding officer of the board and a majority of other voting board members are free of any contractual, employment, or personal or familial financial interest in the institution.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The University of Alabama at Birmingham (UAB) is overseen by the Board of Trustees of the University of Alabama (the Board).

Composition, election, terms of office, status, authority, and functions of the Board are governed by the Constitution of Alabama of 1901, Article XIV, Section 264, as amended by Amendment 399, the Code of Alabama 1975, Sections 16-47-30 to 16-47-37, and the Bylaws of the Board of Trustees, Article I, Sections 1–6. Lines of authority are demonstrated in the University of Alabama System organizational chart, which is shown below:

Authority and Responsibility

The Bylaws of the Board of Trustees, Article I, Section 6 sets forth in specific detail the authority and responsibilities of the Board. The eighteen primary functions of the Board include establishing policies and goals, reviewing and approving academic programs, reviewing and approving legislative requests for appropriations, as well as annual budgets and budget changes, approving loans and bonds, and strategic planning. While the details of these functions may be delegated to the individual campuses, the Board retains ultimate authority.
Structure of the Board and its Committees
The composition of the Board is addressed in Article I, Section 1 of the Bylaws of the Board of Trustees and in the Constitution of Alabama 1901, Article XIV, Section 264, as amended by Amendment 399. The Board is composed of fifteen elected members and two ex-officio members. There are three members from the congressional district in which the Tuscaloosa Campus, The University of Alabama, is located and two members from each of the other six congressional districts in Alabama. It should be noted that the Code of Alabama 1975 Section 16-47-30 specifies two members from the congressional district in which the university is located and one member from each of the other congressional districts. The constitutional specification supersedes that of statute. All members are elected by the Board and are subject to confirmation by the Alabama State Senate. By virtue of their offices, the Governor and the State Superintendent of Education act as ex officio members of the Board. A list of current members of the Board, their occupations, their professional affiliations, and terms of office is provided for reference.

The officers of the Board are ex officio President of the Board (Governor of the State of Alabama), President pro tempore (elected by members of the Board), Secretary (appointed by the Board), and General Counsel (appointed by the Chancellor with the approval of the Board). Other officers may be elected from time to time.

The twelve standing committees are described in the Bylaws of the Board of Trustees:
- Executive Committee
- Academic Affairs, Student Affairs, and Planning Committee
- Finance Committee
- Physical Properties Committee
- Investment Committee
- UAB Health System Board Liaison Committee
- Honorary Degrees and Recognition Committee
- Audit Committee
- Compensation Committee
- Athletics Committee
- Legal Affairs Committee
- Nominating Committee

Policy-Making Authority
The Bylaws of the Board of Trustees, Article I, Section 6 recognize that the Board "must determine major policy, review existing policy, define the missions, role and scope of the University and each of its major divisions or component institutions" in the exercise of its management and control of the University. Functions associated with this responsibility include:

- Establish polices and goals of the University;
- Approve admission policies and levy fees and charges;
- Approve or designate who shall approve compensation policy for faculty and staff;
- Establish objectives, policies, and practices which provide for effective and prudent management, control, and preservation of the investment assets of the University;
- Establish auditing policies and standards and appoint independent auditors.

Recent Board actions in this regard include revisions to the Patent Policy (Board Rule 509) and the Nonresident Tuition Policy (Board Rule 202). Policy decisions at the Board level apply to the three campuses in the University of Alabama System.

Ensuring Financial Adequacy
A number of responsibilities defined in Article I, Section 6 of the Bylaws of the Board of Trustees are related to ensuring resources of the institution are adequate to provide a sound educational program:

- Approve admission policies and levy fees and charges;
- Review and approve legislative requests for appropriations;
- Review and approve annual budgets and budget changes;
- Approve all loans, borrowing, and issuance of bonds;
- Establish objectives, policies, and practices which provide for effective and prudent management, control, and preservation of the investment assets of the University;
- Establish auditing policies and standards and appoint independent auditors.

These responsibilities are carried out by several Board Committees, including Academic Affairs, Student Affairs, and Planning; Finance; Investment; Audit; and, to some degree, Physical Properties.

Article IV, Section 2 of the Bylaws of the Board of Trustees assigns partial responsibility for the institution’s fiscal stability to the Academic Affairs, Student Affairs, and Planning Committee in the following paragraph:

The areas of responsibility of this committee shall include reviewing and recommending approval of: long-range plans; new academic programs; evaluation of and modification to existing academic programs; organizational structure; requests for legislative appropriations; mission statements and statements of role and scope; programmatic planning for new facilities; annual budgets as they apply to the above items; and other matters that may be referred to it by the Chancellor or the Board.

Examples of Committee approval of new academic programs and organizational restructuring, both with financial impacts on the institution, are shown in the minutes of the June 2013 and April 2014 meetings.

The Finance Committee is responsible for the review and recommendation to the Board for approval of the following:
• Annual audited financial statements
• Annual budgets
• Financial reports
• Legislative appropriation requests
• Budget performance reports
• Long-range financial plans
• Student tuition, fees, and financial aid programs
• Development and fund raising
• Financial exigency
• Depository approval
• Gift approval
• Review of campus indebtedness proposals

Excerpts from the minutes of the April 2014 Finance Committee meeting provide an example of approval of student tuition and fees, and minutes of the September 2013 Finance Committee meeting show approval of the University’s annual budget.

The Investment Committee is responsible for overseeing investment activities and performance; for ensuring the proper control and safekeeping of the investment funds and assets retained by UAB for investment purposes; for making changes within the broad asset allocation guidelines; and for the selection of external money managers, custodians, and such consultants as needed to properly manage these funds. Examples of investment approvals are shown in the minutes from the April 2013 and June 2013 meetings of the Investment Committee.

The Audit Committee is responsible for overview of internal and external audits, reviewing the scope of audits, making recommendations for the selection of external auditors, and reviewing the findings of the Examiner of Accounts and all other external auditors. A General Auditor, appointed by the Board, is guided by this committee. Minutes from the February 2014 Audit Committee meeting show approval of the Financial Statements for the System, including UAB. The minutes from the June 2013 meeting of the Audit Committee provide an example of the Committee’s recommendation of the external auditor for the fiscal year 2012–2013 audit.

The Physical Properties Committee has responsibility for evaluating annual capital development plans; acquisition and disposition of land, facilities, and equipment; and planning and construction of new facilities and renovation of existing facilities. Excerpts from minutes of the September 2013 meeting of the Physical Properties Committee provide an example of approval for expansion of existing facilities. The Committee also oversees ground and facility leasing, as demonstrated in the minutes of the April 2014 meeting.

**Board Control**

The regional distribution of the Board of Trustees membership, addressed in Article I, Section 1 of the Bylaws of the Board of Trustees and in the Constitution of Alabama 1901, Article XIV, Section 264, as amended by Amendment 399, and confirmation of Trustees by the Alabama State Senate prevents control of the Board by a minority of members and undue influence by any particular business sector or other special interest group. Furthermore, when the Board takes action on an item by voting, a quorum of members must be present. Term limits (established in Article I, Section 2 of the Bylaws of the Board of Trustees) of six years, with a maximum of three consecutive full six-year terms, further reduce the potential of factions of control.

**Ethical Conduct and Conflicts of Interest**

The Board has adopted and subscribed to Board Rule 106 governing ethical conduct and conflicts of interest of the Board members. It establishes standards for avoiding, identifying, and managing conflicts of interest in business practices, employment of family members, and use of confidential information for personal benefit. Specifically with respect to business transactions of the Board with other entities, the rule requires annual disclosure by Board members and senior administrators of any substantial interest held by them or their family members, as defined in the rule. The Office of Risk Management at the University of Alabama System Office established procedures to assist with monitoring annual filing of the web-based conflict of interest disclosures and reviewing proposed Board actions for potential conflicts.

Board members as well as senior administrators have ultimate responsibility for reporting conflicts and refraining from prohibited actions. Examples of Trustee abstention from voting on matters in which a conflict of interest exists are provided in the minutes of Board meetings in June 2006, June 2010, and November 2010.

Furthermore, per Article I, Section 5 of the Bylaws of the Board of Trustees, "No Trustee shall receive pay or emolument other than his actual expenses incurred in the discharge of his duties as such; such expenses shall be paid or reimbursed from University funds upon the authorization of the Chancellor. Such authorization shall be subject to review and certification annually by the President of the Board, or, in his absence, the President pro tempore."

**Board Meetings**

The Board follows a regular schedule of five annual meetings. These meetings are consistently held in February, April, June, September, and November, and the specific meeting dates are approved by the Board each September. The Bylaws of the Board of Trustees specify that the Board is required to meet at least once annually and may otherwise meet regularly and specially as scheduled in advance. Meetings of the Board are open to the public, except for authorized executive sessions. The Bylaws of the Board of Trustees also authorize the Executive Committee of the Board to take action for the full Board if action is required prior to the next regular meeting. Reports of the Executive Committee are provided to the Board at the next regularly scheduled meeting. Quorum is required for any action to be taken. Meeting minutes are publicly available on the University of Alabama System website (internet access required). This transparency provides assurance that the Board is exercising appropriate control of the institution and is governing within its designated powers.
Sources (In Order of Appearance)

[PDF] Constitution of Alabama 1901, Article XIV, Section 264, as amended by Amendment 399
[PDF] Code of Alabama 1975 Title 16 Chapter 47 Sections 16-47-30 to 16-47-37
[PDF] UA System Organizational Chart
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 11)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 9)
[PDF] Code of Alabama 1975 Title 16 Chapter 47 Section 16-47-30
[PDF] Members of the Board of Trustees
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 14)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 16)
[PDF] BoT Minutes Feb 2013 - Finance Committee - Revisions to Patent Policy
[PDF] BoT Minutes Sept 2013 - Finance Committee - Revisions to Non-Resident Tuition Policy
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 17)
[PDF] BoT Minutes June 2013 - Academic Affairs Committee
[PDF] BoT Minutes April 2014 - Academic Affairs Committee
[PDF] BoT Minutes April 2014 - Finance Committee
[PDF] BoT Minutes Sept 2013 - Finance Committee
[PDF] BoT Minutes April 2013 - Investment Committee
[PDF] BoT Minutes June 2013 - Investment Committee
[PDF] BoT Minutes Feb 2014 - Audit Committee
[PDF] BoT Minutes June 2013 - Audit Committee
[PDF] BoT Minutes Sept 2013 - Physical Properties Committee
[PDF] BoT Minutes April 2014 - Physical Properties Committee
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 10)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 47)
[PDF] UA System Conflict of Interest Procedures
[PDF] Sample Conflict of Interest Form
[PDF] BoT Minutes June 2006
[PDF] BoT Minutes June 2010
[PDF] BoT Minutes November 2010
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 12)
[URL] Minutes of the Board of Trustees Meetings
2.3

Chief Executive Officer

The institution has a chief executive officer whose primary responsibility is to the institution and who is not the presiding officer of the board. (See Commission policy "Core Requirement 2.3: Documenting an Alternate Approach.") (Note: If an institution is part of a system and its chief executive officer is also the chief executive officer of the system, the institution must provide information requested in Commission policy "Core Requirement 2.3: Documenting an Alternate Approach." This information should be submitted as part of the Compliance Certification.)

Judgment

- □ Compliance
- □ Partial Compliance
- □ Non-Compliance
- □ Not Applicable

Narrative

The chief executive officer of the University of Alabama at Birmingham (UAB) is the President. The President of UAB does not serve as the President of the Board of Trustees of the University of Alabama (the Board) or the Chancellor of the University of Alabama System (UA System).

As documented in the Bylaws of the Board of Trustees, Article III, Sections 1-2, the Governor of the State of Alabama, currently Dr. Robert Bentley, is the ex officio President of the Board. At each annual meeting held in September, the Board elects one of its members to serve as President pro tempore, who presides at all meetings in absence of the governor until the next annual meeting. Mr. Paul W. Bryant Jr. currently serves in this capacity. A current list of members of the Board is shown on the UA System website (internet access required), and the membership as of July of 2014 is attached.

The UAB President, Dr. Ray L. Watts, reports directly to the Chancellor, Dr. Robert E. Witt, and, through the Chancellor, to the Board. Lines of authority are demonstrated in the University of Alabama System organizational chart, which is also shown below:

As defined in the Bylaws of the Board of Trustees, Article V, Section 2, the Chancellor is the chief executive officer of the UA System and exercises such powers as are necessary for its appropriate governance. The Chancellor is the principal link between the Board’s responsibility for policy and each President’s responsibility for operations.

The President has full authority to administer campus affairs and to formulate and issue regulations and orders not inconsistent with the bylaws, rules, policies, and procedures of the Board and the Chancellor. The duties and responsibilities of the President are enumerated in Article V, Section 3 of the Bylaws of the Board of Trustees. The official Presidential job description, which is maintained by UAB Department of Human Resources, elaborates on these duties and responsibilities and its relation to senior administration. Specifically, it provides:
Serves as the Chief Executive Officer (CEO) of the University of Alabama at Birmingham. Exists to provide management and control over the activities, affairs, operations, business and property of the institution. As Chief Executive Officer administers campus affairs and formulates rules and regulations consistent with the bylaws, policies and procedures of the Chancellor and Board of Trustees. Interfaces with local, state, regional, national and international governmental and non-governmental agencies and institutions to enhance and extend UAB’s programs and services to the public at large. Reporting directly to the President are the Provost, Vice President for Financial Affairs and Administration, Vice President for Information Technology, Vice President for Development, Alumni & External Relations, CEO of the Health System, Athletic Director and Directors of State and Federal Relations. Reporting to the President on matters of policy, vision and long range strategic planning are the Senior Vice President for Medicine, Vice President for Research and the Vice President for Equity and Diversity.

By virtue of his position, the UAB President holds board of director roles with the UAB Health System (Chair), UAB Research Foundation (Chair), Southern Research Inc. (Chair), Community Foundation of Greater Birmingham, Innovation Depot, Birmingham Business Alliance, VIVA Health, and Conference-USA. The UAB President does not serve in an employment capacity in any of these organizations and receives no compensation for his service on the boards.

Sources (In Order of Appearance)

- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 14)
- [URL] Membership of Board of Trustees
- [PDF] Members of the Board of Trustees
- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 19)
- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 21)
- [PDF] UAB President Job Description
**Institutional Mission**

The institution has a clearly defined, comprehensive, and published mission statement that is specific to the institution and appropriate for higher education. The mission addresses teaching and learning and, where applicable, research and public service.

**Judgment**

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

**Narrative**

The UAB mission statement is clearly defined, specifically addresses teaching, research, and public service, and describes the distinctiveness of the institution.

UAB is a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond.

The mission statement is found on the UAB Strategic Plan website, in addition to publications such as Facts & Figures 2013-2014 and the UAB Faculty Handbook and Policies.

The mission statement is specific to UAB's Carnegie classification of RU/VH (research university with very high research activity). The threshold for being classified as RU/VH is the awarding of at least 20 research doctoral degrees during the Carnegie update year (excluding doctoral-level degrees that qualify recipients for entry into professional practice, such as the J.D., M.D., Pharm.D., D.P.T., etc.). The institution has exceeded the threshold number of doctoral degrees since 1985 as shown in Facts & Figures. Furthermore, it currently offers doctoral degrees in thirty-seven disciplines.

UAB offers a wide range of undergraduate, graduate, and professional degree programs. These fifty-one baccalaureate degrees, fifty-one master’s degrees, and three professional degrees are documented in Facts & Figures. Teaching, learning, and the application of knowledge are demonstrably part of the mission of the institution.

The institution is defined in the mission statement as a research university. Although the Carnegie classification does not use any explicit measure of research productivity in its classification, it does note the strong, positive relationship between the breadth of doctoral degrees awarded and the amount of research funding. The fact that UAB recently achieved a rank of 21st in the nation in funding from the National Institutes of Health further supports the conclusion that the mission statement is specific to the institution.

The institution is also defined in the mission statement as an academic health center. Through the acclaimed Health System and health professional schools, UAB brings world-class care close to home for residents of Alabama. UAB Hospital is the largest hospital in Alabama and the third-largest public hospital in the nation. Nine UAB Hospital medical specialties are among the nation's top 50 in 16 categories evaluated at U.S. hospitals by U.S. News & World Report. UAB Hospital has also been named by Becker's Hospital Review among the 2014 "100 Great Hospitals in America." The School of Dentistry provides a wide variety of services ranging from basic dental needs to complex care in specialty areas using the latest technology and equipment in its clinics. The School of Optometry provides focused care to meet the needs of its patients in its main clinic and family practice setting, as well as providing care outside of its clinical settings, in such locations as area schools, nursing homes, health departments, the Alabama Institute of the Deaf and Blind, and other sites that benefit the community.

The institution also makes significant contributions to the social and cultural landscape of the local Birmingham community and the State of Alabama. UAB's Alys Robinson Stephens Performing Arts Center presents and produces the world's best artists in music, dance, theatre, comedy, film, and family entertainment, as well as presenting curated events and commissioned works. The Alys Stephens Center is also home to the Alabama Symphony Orchestra. In addition to its arts programming, the Alys Stephens Center offers a wide variety of arts education and outreach endeavors to the community. The Abroms-Engel Institute for Visual Arts is the new art and art education facility which is home for the University Galleries (a collection of 700 art works including donations from the Any Warhol Foundation) and hosts exhibitions, lectures, and studio space. WBHM, a listener-supported service of UAB, is "Your NPR News Station" and home to the Alabama Radio Reading Service, a resource for the blind and print-impaired. UAB's Departments of Music, Art and Art History, and Theatre are actively engage in cultural offerings to the community.

UAB is a major driver of the state and local economy. The 2010 Economic Impact Study calculated UAB's impact on the state of Alabama at $4.6 billion with growth projections to $6.6 billion by 2020. As the largest single employer in Alabama (with more than 23,000 employees), UAB directly and indirectly supported over 61,000 jobs in the state in FY 2008-2009. UAB partners with organizations such as the Birmingham Business Alliance and the Economic Development Partnership of Alabama to spur robust economic development. Much of UAB's impact is generated by technology transfer, taking basic research discoveries to the marketplace.

The institution's education, service, and research roles in the state and beyond are driving forces for online education and international and global programs. A sampling of research, courses, and service activities is provided to demonstrate UAB's impact across the world.

Taken together, the above-cited indicators of high levels of teaching, research, and service clearly indicate that the mission statement is appropriate to an institution of higher education.
| PDF | UAB Strategic Planning - Vision and Mission |
| PDF | Facts & Figures 2013-2014 (Page 7) |
| PDF | Faculty Handbook and Policies (Page 2) |
| PDF | Carnegie Classifications - UAB Profile |
| PDF | Facts & Figures 2013-2014 (Page 63) |
| PDF | Facts & Figures 2013-2014 (Page 55) |
| PDF | US News & World Report Best Hospitals Rankings |
| PDF | 100 Great Hospitals in America (Page 7) |
| PDF | UAB Economic Impact Report |
| PDF | UAB Global |
Institutional Effectiveness

The institution engages in ongoing, integrated, and institution-wide research-based planning and evaluation processes that (1) incorporate a systematic review of institutional mission, goals, and outcomes; (2) result in continuing improvement in institutional quality; and (3) demonstrate the institution is effectively accomplishing its mission.

Judgment

☐ Compliance □ Partial Compliance □ Non-Compliance □ Not Applicable

Narrative

UAB is in compliance with Core Requirement 2.5 with its commitment to ongoing, integrated, and institution-wide research-based planning and evaluation processes that foster continuous improvement in support of its mission.

This narrative will detail the following:

I. Describe the history of the UAB mission and strategic plan, including the current development of and transition to a new institution-wide strategic plan.

II. Describe critical components of the institutional effectiveness process, including regular review processes.

III. Describe the ways in which the institutional effectiveness process is related to the budget.

IV. Provide examples to demonstrate how institution-wide planning/effectiveness has affected UAB positively.

I: The UAB Vision, Mission, and Strategic Plan

UAB regularly reviews its vision, mission, and strategic plan goals. The current UAB vision and mission statements were approved by the Board of Trustees for the University of Alabama system on February 6, 2004:

Vision

"An internationally renowned research university—a first choice for education and health care."

Mission

"UAB's mission is to be a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond."

These revised vision and mission statements, available on the previous University strategic plan website and current strategic plan website (internet access required), were based significantly on a strategic plan that was produced in 2002. That plan developed from conversations among students, faculty, and staff about shared goals, objectives, and metrics. In 2010, the strategic plan was refined further. UAB21, the 2010-2015 revision of the strategic plan, was discussed in draft form in 2010 at campus-wide town hall meetings and via emailed comments from the campus community. As finalized, none of the goals was a radical departure from the 2002 goals; they were refined and more targeted to current aims. These goals were available publicly on the previous University strategic plan website.

Each goal included the rationale for the revision—the circumstances or challenges that demand the best, targeted efforts. Following this was a description of UAB's readiness to accomplish the new goal—all that UAB has achieved that positions it to have an even greater impact. Next are refined objectives that will enable UAB to indeed strengthen its impact in each area and thereby accomplish each new goal. Finally, updated scorecards contained targets to help UAB track progress and remain accountable. See Section II below for additional details about scorecards.

UAB21 Strategic Plan Goals

Goal I: Transforming Undergraduate Learning

We will provide a student-centered, collaborative learning experience to prepare diverse students for rewarding careers and lives that benefit society and our regional and global economy.

Goal II: Transforming Graduate and Professional Education

We will offer exceptional graduate and professional programs that prepare diverse students to lead, teach, conduct research, provide professional services, become the prominent scholars and societal leaders of the future, and contribute to our region's prosperity.

Goal III: Research and Scholarship

We will expand UAB's capability to discover and share new knowledge that benefits society, spurs innovation, fosters the region's economic development, and further positions UAB as an internationally renowned research university.

Goal IV: Service to Community and State

We will partner with our community and state to improve education, health, quality of life and economic development.

Goal V: Community/Financial Support

We will partner with the larger community to garner financial and other support to achieve our common goals.
**Goal VI: Living/Learning/Working Environment**

We will create a consumer friendly, positive, supportive, and diverse environment in which students, faculty and staff can excel.

Also in 2010, the UAB School of Medicine and UAB Health System implemented AMC 21, its strategic plan to become the "Preferred Academic Medical Center of the 21st Century." AMC 21 has three core goals:

- Delivering outstanding patient care;
- Developing advancements in scientific discovery and biomedical research; and
- Providing a strong foundation of education and training for professionals.

To accomplish these goals, UAB Medicine (the academic health center) has committed to "focus on quality, satisfaction, financial performance, and the advancement of knowledge, which form the "pillars" of our strategic initiative." A strong foundation, including a system of measures, supports these pillars:

"These pillars are built on a foundation of innovation and advancement of knowledge to harvest new ideas, fresh approaches, and scientific breakthroughs; alignment and integration to encourage collaboration, communication, and organizational effectiveness; and Reaching for Excellence to align goals, measure outcomes, and create a system of accountability."

Ray L. Watts, M.D., a principal architect of the AMC21 strategic plan, became president of UAB on February 8, 2013. Under his leadership, the University began to engage its various stakeholders in a comprehensive strategic planning process, which continues in 2014. Watts introduced the overall strategic planning process to the University in his *State of the University* address (internet access required) on October 28, 2013. Part of this process also included the establishment of strategic priorities within each school, based on school-wide and unit-level discussions among faculty, students, and staff. The deans of each school presented their initial plans to the UAB Executive Cabinet in Spring 2014, and these academic plans are now available on the revised strategic plan website (internet access required).

President Watts continues to engage the campus community about the status of the new strategic plan, with an emphasis on University priorities. A May 9, 2014 article distributed in the campus-wide electronic newsletter, the *eReporter*, as well as a June 26, 2014 e-mail to all faculty and staff, detailed the progress on developing a new plan. Based on these priorities, and building upon the existing UAB21 strategic plan, the University has identified five goals as part of the new strategic plan (internet access required):

**Goal I:** Provide education that prepares diverse students to lead, teach, provide professional services and become the prominent scholars and societal leaders of the future.

**Goal II:** Pursue research that benefits society, spurs innovation and expands UAB's capability to discover and share new knowledge.

**Goal III:** Deliver the highest quality patient care that reflects our ability to translate discoveries into revolutionary therapies in one of the nation's largest academic medical centers.

**Goal IV:** Encourage partnerships that improve education, health and quality of life through service at home and around the globe.

**Goal V:** Foster and stimulate innovation and entrepreneurship that contributes to the economic development and prosperity of Birmingham and beyond.

The University continues the transition from the UAB21 strategic plan to the new strategic plan. A recent strategic planning session for the President, vice presidents, and deans has continued the planning process. The session included presentations and discussions about strategic priorities for the following groups (among others):

- Collat School of Business
- School of Medicine
- AMC21 (UAB Medicine)
- Information Technology
- Research Administration
- Research Computing

Accountability measures, including semiannual progress reports, are in place to ensure updates to constituents and solicit feedback from campus stakeholders.

**II: The Institutional Effectiveness Process at UAB**

Systematic, ongoing, integrated, and data-based reviews of institution-wide effectiveness permeate multiple processes within the University. This multi-layered approach is appropriate at UAB, given the breadth and depth of strategic plan goals across a large, complex university environment. These integrated processes support decision-making across the University as part of continuous and cyclical reviews. These assessment processes include the following fourteen elements on three different cycles: every 5-10 years, annually, and multiple times per year.

**Every 5-10 Years**

1. Institution-Wide Strategic Planning
2. Campus Master Plan

**Annually**

1. Strategic Plan Scorecards
Multiple Times Per Year

1. Student Forums
2. Office of Institutional Effectiveness and Analysis Reports
3. Operational Assessments
4. Formal University Committees
5. Program Accreditation
6. Business Intelligence Dashboards

Institution-Wide Strategic Planning (Every 5-10 Years)
As described in Section I, the University regularly engages in institution-wide strategic planning, with the next strategic plan currently under development. This new plan will represent the third UAB strategic plan since 2002; all plans have included significant feedback from and conversation with University stakeholders, including students, faculty, and staff.

Campus Master Planning (Every 5-10 Years)
As discussed in Core Requirement 2.11.2, UAB has a defined process for reviewing physical resource needs and developing a campus master plan that is aligned with its mission and goals. Since the 1981 adoption of Rule 415 of the Board of Trustees of the University of Alabama (the Board), which required a campus master plan, the University has prepared an original master plan and five updates to the original. The University prepares a new Campus Master Plan when required by the Board. The 2000 Master Plan Update and 2012 Amendment are provided. This plan includes a review of current and future educational programs needs and addresses growing programs that will require additional physical facilities through expansion, renovation, or facility addition. The plan also reviews the support services required for the programs and addresses each of the services. In addition, the master plan addresses the mission-related activities, both short- and long-term, as they relate to the next five years in terms of continued growth and development.
Starting with the 2000 Master Plan Amendment, UAB created a Future Development Master Plan for the period beyond the 5-year period in addition to the 5-year plan.

Each campus of the University of Alabama System is also required to have an active Campus Planning Committee (CPC) to guide the physical growth and development of the campus. The role of the UAB CPC is to be involved in the five phases of the UAB Master Planning System in order to ensure the implementation of the Campus Master Plan concept, goals, and objectives.

**Strategic Plan Scorecards (Annually)**
To support continued institutional improvement in alignment with the UAB21 strategic plan, the University developed detailed scorecards for each of the six plan goals. A total of 167 metrics (including various sub-metrics), many with specific targets for future years, measured progress within each goal. The majority of these metrics were public-facing on the UAB strategic plan website, with some metrics—typically additional details about specific metrics—available only to UAB students, faculty, and staff via a website that required UAB credentials. The metrics were updated annually and edited, as needed, to reflect local and national trends with specific goals. The scorecards were crafted carefully to identify specific metrics that would hold UAB accountable to its goals, and the metrics were regularly reviewed by senior leadership in various planning sessions.

Some metrics were removed from the scorecards over time, particularly as a result of assessment of priorities and some data sources no longer being available. A scorecard existed for each of the six goals within the UAB21 strategic plan:

- Goal I: Transforming Undergraduate Learning Scorecard
- Goal II: Transforming Graduate and Professional Education Scorecard
- Goal III: Research and Scholarship Scorecard
- Goal IV: Service to Community and State Scorecard
- Goal V: Community/Financial Support Scorecard
- Goal VI: Living/Learning/Working Environment Scorecard

These scorecards have been retired in 2014 (after the posting of metrics from 2013) as new measures of accountability are being developed to support the strategic plan currently under development, but they have played a critical role in strategic plan accountability through the current year. The scorecards remain available, however, on the strategic plan website for users with UAB credentials (internet access required).

**Vice President Performance Evaluations (Annually)**
Each year the President provides the Provost and Vice Presidents with performance evaluations that include details about their accomplishments and challenges from the previous year, as well as goals for the upcoming year. The Vice Presidents provide their review in the context of the mission and strategic plan goals of the University. The President meets individually with each Vice Presidents to review her/his achievement of strategic goals and to provide feedback about ways to ensure continuous improvement across the institution.

**School-Specific Planning & Review Documents (Annually)**
At the conclusion of each spring semester, the Office of Institutional Effectiveness and Analysis provides the Office of the Provost with summary metrics to support the evaluation of individual deans/schools. These planning documents include a longitudinal representation of the following metrics by school, as well as institution-wide trends in each of these areas:

- Headcount enrollment
- Credit hour production
- Degree completions
- Sponsored research expenditures
- Summary documents by school

These metrics allow the Provost to annually assess individual schools with metrics that are specifically tied to the strategic plan goals of undergraduate learning, graduate/professional education, and research/scholarship. The Provost reviews these metrics and discusses opportunities and strategies for improvement in individual meetings with deans of the schools and college. In addition to annual evaluations, these documents support the annual strategic planning review in each school, as well as budget discussions about funding to support strategic initiatives.

The individual deans/schools are also asked to submit annual self-reviews to the Office of the Provost in response to specific questions about institutional priorities.

**University of Alabama System Three-Year Academic Program Plans (Annually)**
Board Rule 507 requires the following: "A three-year academic program planning document will be presented annually to the Board for its review." The University of Alabama System Office provides a template for the required data, and the Provost, in consultation with the President, deans, and the Office of Institutional Effectiveness and Analysis, regularly updates this document for annual presentation to the Board. The UAB 2014-2017 academic program planning document is provided. The Provost prioritizes academic program initiatives that best align with the mission of the University, as well as the specific strategic plans within the Office of the Provost and the individual schools.

**Student Assessments/Surveys (Annually)**
After a review of ongoing assessments/surveys in 2013, UAB has reduced the number of regular student surveys and shifted to a more frequent administration of two nationally recognized student surveys: the National Survey of Student Engagement (NSSE) and the Noel-Levitz Student Satisfaction Inventory (SSI). Each survey is now administered biennially, with the NSSE administered in 2014 and the SSI to be given in 2015. Each fall the results of these surveys, including national trends and benchmark institution comparisons, are made available to the central administration, schools, and other campus constituents to support assessment efforts of strategic plan goals.
• National Survey of Student Engagement (NSSE) Results (2012)
• Noel Levitz Student Satisfaction Inventory (SSI) Results (2011)
  • UAB 2011 Results Compared to National Four-Year Public Institutions
  • UAB 2011 Results Compared to UAB 2008 and 2004 Results
  • UAB 2011 Results Compared to National Four-Year Public Institutions and UAB 2008 & 2004 Results

Student Learning Outcomes Assessment (Annually)
As discussed in Comprehensive Standard 3.3.1.1, at the academic program level, measures and data inform program and curriculum development and contribute to improvement of student learning outcomes and program effectiveness. UAB’s current system for documenting program and student learning outcomes and assessment results dates from 2007, with the implementation of WEAVE, an online database used to document and track annual assessment data from all academic and administrative units on the UAB campus. The WEAVE database is administered through the Office of the Provost, with designated personnel in each school unit responsible for data entry for their respective areas. Entries are audited for completeness at the end of the annual reporting cycle by the Provost’s Office. The WEAVE database is structured to allow individual units to document their mission/purpose, link goals and outcomes to University strategic goals and general education objectives, document their measurements for assessing performance, and establish targets and actual performance. A key benefit of WEAVE is the Action Plan component, which is used to document planned and active responses to areas where performance is below target or improvement is desirable, including specifying responsible individuals and needed resources to implement the plan.

Currently, all academic programs on the UAB campus have WEAVE entries. The WEAVE Program Inventory is organized by departments within the eleven academic units (College of Arts and Sciences; the Graduate School; and Schools of Business, Dentistry, Education, Engineering, Health Professions, Medicine, Nursing, Optometry, and Public Health) and the Joint Health Science Departments. All academic programs document annual assessment activity, including one or more student learning outcomes, although they are not required to include the full scope of their assessment activity in WEAVE.

Outcomes, measures, and targets documented in WEAVE are intended to evolve as programs improve in targeted assessment areas. Challenging measures and those pivotal to assuring program effectiveness may continue indefinitely. Other measures may be modified by refining the focus or by raising the performance target. If findings do not provide actionable information or if the target is consistently met, the measure may be terminated at the end of a review cycle. Importantly, programs have improved their assessment methods over time and are accumulating longitudinal data for trend analyses.

Facts & Figures Publication (Annually)
UAB annually produces Facts & Figures, which publishes annual details and metrics about faculty, students, staff, academic programs, facilities, and more. The publication presents the UAB mission and strategic plan goals, as well as a mass of critical information about UAB and these priorities, including enrollment, credit hour production, degrees awarded, sponsored research expenditures, etc. Because it is publicly available, Facts & Figures allows both internal and external constituents to assess the ability of the institution to achieve its strategic goals.

Student Forums (Multiple Times Per Year)
Twice each year, once each in the fall and spring semesters, the Student Government Association hosts an open forum. Student government leaders moderate the forum, which touches on a several strategic plan elements, including the campus master plan, academic programs and advising, and student services. The President, Provost, several vice presidents, and other campus administrators attend the event and use the opportunity to engage directly with students to gather their feedback about various improvements that can be implemented on campus in order to support common goals. The Fall 2013 and Spring 2014 forum agendas include topics such as “Academics and Advising,” “Student Life,” and “Library Services.”

Office of Institutional Effectiveness and Analysis Reports (Multiple Times Per Year)
The Office of Institutional Effectiveness and Analysis, which includes institutional research, business intelligence, external relations, academic planning, and other related functions, was formed as the result of restructuring in 2013 in order to support more informed central decision-making at UAB. The mission of the Office is to communicate data and information to promote strategic decision-making and continuous quality improvement, and one of its core goals is to facilitate strategic decision-making through the collection, analysis, and dissemination of objective data and information. Senior leadership often ask the Office to perform thorough assessment and analysis of topics that relate directly to the strategic plan goals of the University. Recent analysis has included the following topics:

• Faculty Salary Analysis (including detailed reports)
• Freshmen Fall-to-Fall Retention Rates Analysis (including a slide deck)
• Classroom Utilization Study
• DFW Grade Analysis
• U.S. News and World Report Rankings Analysis

Operational Assessments (Multiple Times Per Year)
UAB has conducted a number of operational assessments of units, both utilizing external consultants and staff within the Office of Institutional Effectiveness and the Office of Human Resources. These assessments, which produce recommendations about strategy, structure, system, staff, and other related components, are designed to better align specific units with the strategic priorities of the institution. Units that have undergone an operational assessment recently include the following:

• Graduate School
• Honors College
• UAB Libraries
• Office of Student Services (School of Education)
• Former Office of Planning and Analysis (now Office of Institutional Effectiveness and Analysis)
• Fiscal operations within the Schools of Education and Optometry
• Career and Professional Development Services
University Committees (Multiple Times Per Year)

University-wide committees, both formal and ad hoc, regularly engage with the institutional effectiveness process. Formally recognized university-wide committees include the Academic Programs Review Committee (APRC) of the Faculty Senate, which regularly reviews undergraduate academic program proposals, as well as proposed policies, to provide a faculty-based review of these items. (Sample agendas and sample reports are provided.)

The Retention and Graduation Committee reviews initiatives, policies, and systems that support the strategic priority of increased retention/graduation rates. As part of a major reorganization of the Office of the Provost in 2010, the position of Vice Provost for Student and Faculty Success was created. This individual began work in January of 2011. One of the top priorities for this position was the implementation of national best practices to improve retention and graduation rates. This Vice Provost created a standing Retention and Graduation Committee made of all of the deans whose schools included undergraduate programs. Other members include the Provost, Vice Provost for Administration and Quality Improvement, Associate Provost for Assessment and Accreditation, Associate Provost for Enrollment Management, a representative from the UAB Faculty Senate, Registrar, Executive Director of Engagement and Retention Initiatives, and Executive Director of Institutional Effectiveness and Analysis. The committee has been meeting monthly since its inception in 2011 to identify and implement national best practices across the institution, including the implementation of a degree audit system, development of advising tools to identify at-risk students, creation of a revised course repeat policy, and other related topics to assess and promote effective strategies for improvement in these areas. (Sample agendas are provided.)

Other ad hoc task forces are formed to provide recommendations for mission critical initiatives. For example, the Student Academic Success Software task force assessed the current academic support software systems at UAB and provided detailed software recommendations to support degree audit, online catalog, standard schedule, online calendar, instant messaging, and other related items, all in support of improving undergraduate student success. The University fully funded and implemented the recommendations in the task force report.

Program Accreditation (Multiple Times Per Year)

A large number of schools, departments, and programs are accredited by specialized agencies. Often these accreditations involve, in part, an examination of the alignment of the school/department/program with the University mission and strategic plan goals, as well as continuous improvement practices within the accredited units. Units invest considerable energy to ensure that their areas successfully maintain their accredited statuses. A listing of current accreditations, including the year of the most recent accreditation, is published annually in Facts & Figures.

Business Intelligence Dashboards (Multiple Times Per Year)

A Business Intelligence unit was developed as part of the newly formed Office of Institutional Effectiveness and Analysis. One objective for Business Intelligence was to create dashboards that make data easily available to decision-makers across the University. The unit has deployed several dashboards that present easily accessible data in these areas:

- Census headcount enrollment
- Census credit hour production
- Undergraduate admissions
- Enrollment comparisons (year-to-year)
- Career survey response data

The dashboards allow users to drill down to data in specific categories (school, program, major, term, etc.) in order to promote data-based decision-making that more effectively supports strategic plan goals, including enrollment and retention. Future dashboard functionality will be developed in integration with datasets that address strategic plan needs.

Taken together, these processes result in systematic, ongoing, integrated, and data-based reviews of UAB strategic plan goals at a number of levels within the University and involving both internal and external constituents. A significant number of institutional improvements, detailed in Section IV below, emerge from these assessment processes in support of institutional strategic plan goals.

Section III: Institutional Effectiveness and the Budget Process

The budget process is integrated with institutional effectiveness processes through several means: the statewide higher education funding formula, the principles and economic rules that inform the annual budget process, the funding of strategic priorities through portions of tuition increases, annual budget presentations to the Board, the IMPACT fund, and a UAB mission support fund.

The annual appropriation from the state of Alabama is a significant source of funding for UAB, including its strategic priorities. The Alabama Commission on Higher Education (ACHE) is the coordinating board for higher education in the state of Alabama. One of its functions is to provide an annual "consolidated budget recommendation" for all higher education institutions in Alabama to the Governor and the State Legislature to inform the appropriation of state dollars for each institution. This recommendation is based, in part, on the ACHE Standard Calculation, a complex formula that includes various standard inputs from each institution and is intended to reflect the cost for each institution to adequately achieve its mission. UAB reports to ACHE annually various inputs for the formula. Included in these metrics are measures that tie directly to UAB strategic plan goals, including enrollment, credit hour production, sponsored research expenditures, facilities, and public service. UAB also diligently tracks the appropriation throughout the legislative session.

Though the ACHE standard calculation for UAB is higher than the appropriation UAB receives, the formula informs legislative decisions about appropriations. While the fiscal environment of recent years has resulted in a wide gap between the ACHE standard calculation and the actual appropriation, the inputs remain critical measures that UAB tracks internally. They also create both internal and external accountability as measures of UAB productivity for education, research, and patient care.

UAB seeks to operate an integrated and transparent budgeting system that links revenues to productivity and quality and assigns costs according to use of resources, as well as maintains an appropriate dynamic balance between medical, non-medical, graduate-professional, and undergraduate teaching and research. To that end the institution has conducted systematic reviews of internal funding strategies and budget allocation models. In 2001 and 2003, an Economic Rules Review Group was appointed to examine the following elements:
- Review how the primary sources or unrestricted revenues (state appropriation, tuition and fees, indirect cost recovery) come in to UAB
- Review how these revenues are distributed internally to the schools/units
- Discuss and recommend as appropriate options for the internal distribution of revenues

The final report and later presentations document several general principles for budgeting at UAB:

- Costs and revenues attributed to each school and other major decision-making units are assigned to enduring economic rules
- Incentives for units to increase revenues and reduce costs to advance academic priorities
- Support of common costs unique to unit assigned directly to unit
- "Public Good" service costs assigned to units through general taxes or appropriate revenue streams

The annual memos that inform budget planning within the schools and units regularly reference these principles, as evident in samples from Fiscal Year (FY) 2007 and FY 2010.

An additional aspect of the integration of planning and budgeting was the implementation of funding indices to use in the distribution of new, unrestricted revenues. Several measures were identified that linked to the major goals of the institution and took into account the differences in the schools and their missions. These metrics were added to the scorecards and tracked annually at the school and institutional levels. Examples of the measurements include baccalaureate completion rates, faculty participation in the early alert system, student ratings of instruction survey results, ACHE funding deficit, and national exam pass rates. These metrics were examined regularly and modified as appropriate.

The Board reviews proposed tuition increases each April (professional programs) and June (undergraduate and graduate programs). While annual tuition increases in recent years have largely supported increases in various mandatory costs to the institution, parts of the increases have been tied directly to strategic plan priorities in some years. For example, in 2012, as part of an 8.5 percent increase in undergraduate and graduate tuition, several portions were devoted to specific strategic priorities:

- 1 percentage point: Student Scholarships
- 1 percentage point: Student Health and Wellness
- 0.5 percentage point: UAB Capital Campaign

Improvements in both scholarship funding and student health and wellness services were strategic plan initiatives that tied directly to the goals of transforming undergraduate and graduate learning, as well as improving the living/learning/working environment at UAB. Each fall, UAB presents its proposed budget for the subsequent fiscal year, which begins October 1, to the Board. In August, the University gives a budget presentation to the Finance Committee of the Board. In September, UAB prepares a formal Operating Budget Recommendation for final approval, as part of a system-wide budget book. The budget recommendation identifies specific strategic goals and objectives for the year and then presents a forecasted budget model to support those initiatives.

In FY 2007, UAB introduced IMPACT (Investment Pool for Action), a fund directed at investment in key programs that are likely to enhance economic development in the region and state, such as recruitment and retention of faculty in academic fields viewed as strategic priorities by the institution, including biomedical research and neuroscience programs. UAB directs $10 million annually from the state appropriation to the IMPACT fund.

Beginning in fiscal year 2015, which starts in October 2014, the President and Provost will control a "UAB mission support fund," which will support strategic plan priorities for the University. This mission support fund was initially funded through a reallocation of the school/college-level BE account balances. The President and Provost will regularly assess the achievement of strategic plan goals and utilize these funds to provide resources that support continuous improvement in these goals.

Section IV: Institutional Improvement

As a result of these multi-layered assessment processes, including alignment with the budget process, UAB has realized significant, measurable improvements in all six goals of the UAB21 strategic plan. These achievements provide direct evidence that UAB is accomplishing its mission "to be a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond." The UAB21 strategic plan scorecards provide longitudinal evidence of improvement within each goal.

Goal I: Transforming Undergraduate Learning

UAB sought to "provide a student-centered, collaborative learning experience to prepare diverse students for rewarding careers and lives that benefit society and our regional and global economy." The Goal I scorecard shows continuous improvement in a number of areas between 2010 and 2013:

- The annual number of entering freshmen has increased by over 200 students, from 1,571 to 1,773.
- The annual number of entering transfer students has increased by over 100 students, from 1,276 to 1,397.
- The annual headcount and percentage of minority enrollment has increased by over 500 students and three percentage points, from 3,752 (34%) to 4,273 (37.2%).
- The annual average ACT of entering freshmen has risen from 24.3 to 25.0.
- The annual six-year graduation rate for first-time, full-time baccalaureate-seeking students has risen impressively by over twelve percentage points, from 41.1% to 53.8%.

Goal II: Transforming Graduate and Professional Education

UAB sought to "offer exceptional graduate and professional programs that prepare diverse students to lead, teach, conduct research, provide professional services, become the prominent scholars and societal leaders of the future, and contribute to our region's prosperity." The Goal II scorecard demonstrates continuous improvement in several areas between 2010 and 2013:
Graduate and professional student annual enrollment rose by over 500 students, from 6,515 to 7,066. The annual number of advanced professional students (interns, residents, and postdoctoral fellows) rose by almost 200 students, from 1,160 to 1,256. The annual percentage of minority enrollment rose more than two percentage points, from 20.6% to 23.07%. The annual number of doctoral degrees (Ph.D. and professional) awarded rose from 487 to 534.

Goal III: Research and Scholarship
The institution desired to "expand UAB's capability to discover and share new knowledge that benefits society, spurs innovation, fosters the region's economic development, and further positions UAB as an internationally renowned research university." Despite some of the significant federal funding challenges during this period, the Goal III scorecard demonstrates improvement in several areas between 2010 and 2013:
- The number of funded investigators each year rose from 898 to 911.
- The annual number of grant and contract applications rose by over 15%, from 4,188 to 4,852.

Comprehensive Standard 3.3.1.4 details the institutional effectiveness process for research, including other notable improvements during this timeframe.

Goal IV: Service to Community and State
UAB focused on partnering "with our community and state to improve education, health, quality of life and economic development." The Goal IV Scorecard details continuous improvement between 2010 and 2013:
- Economic Impact: the annual dollars spent with minority/women business enterprises rose by over five million dollars, from $21,000,000 to $26,701,567.
- Intellectual Capital: the annual percentage of graduating seniors expecting to remain in Alabama rose by eleven percentage points, from 75% to 86%.
- Health Care: the number of annual hospital/clinic visits and admissions rose by over 16,000, from 1,657,793 to 1,674,391.
- Health Care: the dollar value of charity care provided annually at no cost rose by almost 15 million dollars, from $72,775,290 to $87,543,459.
- Quality of Life: The annual funds pledged to the Benevolent Fund, UAB's own system of supporting charitable, service, and health agencies through employee pledges, rose from $1.799 million to $1.82 million.
- Quality of Life: Annual attendance at Alys Stephens Performing Arts Center events increased from 109,283 to 113,411.

Goal V: Community/Financial Support
UAB sought to "partner with the larger community to garner financial and other support to achieve our common goals." The Goal V scorecard shows continuous improvement in various areas between 2010 and 2013:
- Total annual private gifts rose by over 23 million dollars, from $61,500,000 to $85,091,336.
- The number of donors annually making gifts rose from 20,633 to 27,159.
- The number of endowed chairs at the university increased from 103 to 114.
- The number of endowed professorships rose from 37 to 60.
- The number of endowed scholarships rose from 427 to 472.
- Annual gifts to the endowment rose from $5,600,000 to $7,107,977.
- Alumni Society membership increased by over 1,500, from 9,506 to 11,084.

Goal VI: Living/Learning/Working Environment
UAB focused on creating "a consumer friendly, positive, supportive, and diverse environment in which students, faculty and staff can excel." The Goal VI Scorecard demonstrates continuous improvement in this area between 2010 and 2013:
- The percentage of smart (technology-enabled) classrooms increased from 93% to 97%.
- Annual amounts of recycled paper increased by over 45%, from 687,980 to 1,004,120 pounds.
- The percentage of full-time regular tenured or tenure-track faculty who are minority increased from 21.5% to 26.3%.
- The number of annual participants in institutional faculty development activities increased by over 165%, from 1,311 to 3,475.
- Annual participants in wellness programs increased by over 150%, from 1,374 to 3,453.
- Annual visits to the Campus Recreation Center increased by over 7%, from 465,605 to 500,625.

Summary
This narrative demonstrates the UAB engaged in ongoing, integrated, and institutional-wide research-based planning and evaluation processes that support continuous improvement in support of its mission and goals. The multi-layered assessment processes in place at the institution, including practices that provide a sound basis for budget and resource decisions, promote the continued, effective accomplishment of mission at UAB.

Sources (In Order of Appearance)
[PDF] BoT Minutes Feb 2004 - Approval of UAB Mission (Page 2)
[PDF] Previous Strategic Plan Website - Landing Page
[URL] Strategic Plan Website
[PDF] Previous Strategic Plan Website - Goals and Objectives
[PDF] Goal I: Transforming Undergraduate Learning
2.6

Continuous Operation

The institution is in operation and has students enrolled in degree programs.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The University of Alabama at Birmingham (UAB) began as an Extension Center of the University of Alabama in 1936. The Extension Center in Birmingham became one of three campuses of the University of Alabama and was renamed the University of Alabama in Birmingham, in 1966. Finally, UAB became an autonomous campus in the University of Alabama System in 1969 by resolution of the Board of Trustees of the University of Alabama. In 1984, its name was changed to The University of Alabama at Birmingham.

Schools and, eventually, a college, were added as enrollment and mission expanded:

- 1945 - School of Medicine moved from Tuscaloosa to Birmingham and became a four-year school
- 1948 - School of Dentistry established
- 1966 - College of General Studies established
- 1966 - School of Health Services Administration established
- 1967 - School of Nursing moved from Tuscaloosa to Birmingham
- 1966 - School of Health Services Administration established
- 1967 - School of Nursing moved from Tuscaloosa to Birmingham
- 1969 - School of Community and Allied Health Resources established (Became School of Health Professions in 2006)
- 1969 - School of Optometry established
- 1970 - Graduate School established
- 1971 - College of General Studies becomes University College with Schools of Business, Education, Engineering, and Arts & Sciences
- 1981 - School of Public Health established
- 1987 - School of Community and Allied Health became School of Health Related Professions
- 1988 - School of Humanities became School of Arts and Humanities
- 1995 - Academic units reorganized under provost
- 2006 - School of Health Related Professions became School of Health Professions
- 2010 - Schools of Arts and Humanities, Education, Natural Sciences and Mathematics, and Social and Behavioral Sciences merged and realigned as the College of Arts and Sciences
- 2012 - School of Education established as a separate school from the College of Arts and Sciences

Enrollment by student level from 1969 through 2013 is shown in Facts & Figures 2013-2014. Total UAB enrollment in the fall of 2013 was 18,568. Fall enrollment numbers from 2003 through 2013 for undergraduate degrees, graduate degrees, and professional degrees are provided. Student data by various categories and characteristics are shown on the Institutional Effectiveness and Analysis website (internet access required).

Sources (In Order of Appearance)

- [PDF] Resolution of Board UAB Autonomous Campus 1969
- [PDF] Facts & Figures 2013-2014 (Page 31)
- [PDF] Undergraduate Enrollment by Major
- [PDF] Graduate Enrollment by Major
- [PDF] Professional Enrollment by Major
- [URL] Institutional Effectiveness and Analysis
2.7.1

Program Length
The institution offers one or more degree programs based on at least 60 semester credit hours or the equivalent at the associate level; at least 120 semester credit hours or the equivalent at the baccalaureate level; or at least 30 semester credit hours or the equivalent at the post-baccalaureate, graduate, or professional level. If an institution uses a unit other than semester credit hours, it provides an explanation for the equivalency. The institution also provides a justification for all degrees that include fewer than the required number of semester credit hours or its equivalent unit.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Degrees Offered

Baccalaureate Level
UAB offers degrees in 51 baccalaureate programs from the College of Arts & Sciences, Collat School of Business, School of Education, School of Engineering, School of Health Professions, School of Nursing, School of Public Health, and by the Joint Health Sciences departments administered by the Schools of Medicine and Dentistry. Degree requirements, stated in the 2014-2015 Undergraduate Catalog, include completion of a minimum of 120 semester hours of appropriately distributed courses, a UAB GPA of 2.0, a 2.00 GPA on all college work attempted (Higher Education grade point average), and satisfaction of the Core Curriculum, major, minor (if required), and residency requirements, along with all other criteria specified by the school/college or department governing the major. Degree requirements specific to each undergraduate program are also identified in the Catalog. For example, the requirements for Bachelor's degrees in Anthropology, Biology, Psychology, Accounting, Biomedical Engineering, Medical Technology, Nursing, and Public Health are described in the Catalog.

The Catalog data has been extracted and compiled in the UAB Degree Program Inventory, which shows the minimum credit hour requirements for each program. It should be noted that actual credit hours may vary due to student-selected minors, concentrations, and other course variations. In all cases, undergraduate degree programs exceed 120 semester credit hours.

These credit hour requirements align with the Alabama Commission on Higher Education (ACHE) Operational Definitions of a bachelor's degree as an undergraduate award that normally requires the completion of at least four but no more than five academic years of full-time equivalent coursework.

Graduate and Professional Level
UAB offers degrees in 51 master's degree programs, two educational specialist's degree programs, 37 doctoral degree programs, and three professional practice degree programs.

Master's degrees are awarded by each bachelor's degree-granting school/college and the Schools of Dentistry and Optometry. Although credit hour requirements vary by discipline, none can be achieved in less than 30 semester hours. Credit hour requirements for these programs are shown in the UAB Degree Program Inventory. Requirements for the Master's Degree, Plan I or II, detailed in the 2014-2015 Graduate Student Handbook, are:

- Plan I (Thesis) requires the completion, in good academic standing, of at least 24 semester hours of appropriate graduate work and 6 semester hours of thesis research, with the presentation of an acceptable thesis embodying the results of original research work.
- Plan II (Non-Thesis) may not require research and does not require a formal thesis, but a minimum of 30 semester hours of appropriate graduate work must be completed in good academic standing.

Two Educational Specialist (Ed.S.) programs are offered by the School of Education. Students may opt to pursue an Ed.S. in Teacher Leadership or an Ed.S. in elementary education or early childhood education. As shown in the Degree Program Inventory, the minimum credit hour requirement for an Ed.S. degree is 30.

Doctoral degrees are granted by the College of Arts and Sciences, School of Education, School of Engineering, School of Health Professions, School of Nursing, School of Optometry, School of Public Health, and through the Joint Health Sciences departments. Although the Degree Program Inventory shows that degree requirements vary, they are comparable to similar programs offered at other institutions and require at least 30 semester credit hours.

Degree requirements specific to graduate degree programs under the auspices of the Graduate School are identified in the 2014-2015 Graduate Catalog. Examples of individual degree programs are Chemistry (M.S. and Ph.D.), Mathematics (M.S.), Sociology (M.A.), Business Administration (M.B.A.), Dentistry (M.S.), Health Education (M.A.Ed.), Materials Engineering (M.S., Ph.D.), Administration (D.Sc., Ph.D.), Nursing (Ph.D), and Biostatistics (M.S., Ph.D.). Additional degree requirements are also detailed in program-specific student handbooks, such as:

- Graduate Biomedical Sciences Student Handbook
- Department of Environmental Health Sciences Master's Academic Procedures
- Department of Biostatistics Graduate Student Handbook
- Department of Health Behavior Master of Public Health Student Handbook
The D.M.D., M.D., and O.D. degrees are four years in length with fixed curricula. The D.M.D. and O.D. programs align with their accrediting agencies’ standards (American Dental Association Accreditation Standards for Dental Education Programs and American Optometric Association Professional Optometric Degree Standards, respectively). The Liaison Committee on Medical Education Standards for Accreditation of Medical Education Programs Leading to the M.D. Degree specifies a minimum of 130 weeks of instruction. The curricula for the D.M.D., M.D., and O.D. degrees show the course requirements and four-year schedules.

Establishment of New Programs

The development of new academic programs (majors, concentrations or tracks within majors, certificates) at UAB involves multiple levels of review and approval, both internally and externally.

Internal Review

All program-related initiatives are developed within a school/college or department and undergo curricular review by that school/college. The formats used in preparing proposals for new programs include information on the number of required credit hours, as shown on the ACHE Proposal for a New Baccalaureate Degree Program and the ACHE Proposal for a New Graduate Degree Program. Once approved by the appropriate department chair and dean, undergraduate items are forwarded to the Provost for Student and Faculty Success who transmits them to the Academic Program Review Council (APRC), the subcommittee of the Faculty Senate charged with overseeing review of undergraduate program issues and making recommendations to the Provost. Graduate program initiatives that have been approved by the appropriate department and school/college-level administrators are forwarded to the Dean of the Graduate School who ensures they are placed on the agenda of the Graduate Council Advisory Committee (ADCOM) that includes faculty representation from each UAB school and college. After review and approval by the APRC or ADCOM, program-related items are sent to the Provost for review and then to the President for final internal approval. At all stages of this process, consideration is given to how proposed programs (or aspects of programs) fit within the broad academic plan for UAB and how they support the institutional mission.

External Review

Program proposals approved by the UAB President are submitted to the Chancellor of the University of Alabama System for consideration by the Academic Affairs, Student Affairs, and Planning Committee of the Board of Trustees of the University of Alabama (the Board) and the Board as a whole. Items approved by the Board are transmitted to the Alabama Commission on Higher Education (ACHE), the coordinating agency for higher education in the state of Alabama, for review and approval. The number of required credit hours are included in the proposal, as noted in the previous paragraph, and are reviewed by the ACHE staff. Minutes from ACHE meetings demonstrate the review of degree requirements for the new program proposal of Bachelor of Fine Arts in Musical Theatre and the addition of tracks in the Master of Engineering program.

Monitoring Program Length

For monitoring undergraduate programs, UAB uses Ellucian Degree Works, which has been internally branded “GPS” for Graduation Planning System. It includes core and programmatic requirements for each major and catalog year. In cases where multiple courses will meet a requirement, those options are listed. An example of the GPS audit for a Chemistry student with a concentration in Biochemistry shows met, unmet, and current enrollment (“IP” or in-progress).

The Graduate School requires that each graduate student complete an application for degree the semester of intended graduation which must be approved by the committee chair/mentor as well as the graduate program director. In addition to the application for degree, Plan II (Non-Thesis) Master’s students submit a curriculum planning worksheet listing the courses that will be applied to the degree. These course requirements are checked against the student’s transcript during the auditing process. For Plan I (Thesis) Master’s students and Ph.D. students, curriculum planning worksheets are not typically required; however, the Graduate School verifies that the student has met the minimum credit hour requirements (as published in the Graduate Student Handbook) as well as thesis/dissertation requirements. For all students, the Graduate School confirms that all requirements have been met as well as that all courses have been successfully completed before awarding the degree. Examples of the application for degree are provided for the Ed.S. in Teacher Leader, M.Ac., M.Eng., and Ph.D. in Environmental Health Sciences.

Sources (In Order of Appearance)

[PDF] 2014-2014 Undergraduate Catalog (Page 69)
[PDF] 2014-2014 Undergraduate Catalog (Page 97)
[PDF] 2014-2014 Undergraduate Catalog (Page 112)
[PDF] 2014-2014 Undergraduate Catalog (Page 190)
[PDF] 2014-2014 Undergraduate Catalog (Page 239)
[PDF] 2014-2014 Undergraduate Catalog (Page 262)
[PDF] 2014-2014 Undergraduate Catalog (Page 276)
[PDF] 2014-2014 Undergraduate Catalog (Page 284)
[PDF] 2014-2014 Undergraduate Catalog (Page 291)
[PDF] Degree Program Inventory
[PDF] ACHE Operational Definitions
[PDF] Degree Program Inventory (Page 3)
2.7.2

Program Content
The institution offers degree programs that embody a coherent course of study that is compatible with its stated mission and is based upon fields of study appropriate to higher education.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative
Multiple, rigorous criteria established by the institution, the Board of Trustees of the University of Alabama (the Board), and the Alabama Commission on Higher Education (ACHE) ensure that the degree programs are coherent, suited to their purposes, and appropriate to higher education.

Program Review and Approval
UAB faculty and administrative review and approval of degree programs is a critical step in assuring appropriateness and coherence prior to submission to the Board and ACHE. Board Rule 502 provides the guidelines for establishing new degree programs. A summary of this process is shown in the UAB New Program Approval Process.

The development of new academic programs (majors, concentrations or tracks within majors, certificates) at UAB involves multiples levels of review and approval, both internally and externally. All program-related initiatives are developed within a school/college or department and undergo curricular review by that school/college. Once approved by the appropriate department chair and dean, undergraduate items are forwarded to the Vice Provost for Student and Faculty Success who transmits them to the Academic Program Review Council (APRC), the subcommittee of the Faculty Senate charged with overseeing review of undergraduate program issues and making recommendations to the Provost. Graduate program initiatives that have been approved by the appropriate department and school/college-level administrators are forwarded to the Dean of the Graduate School who ensures they are placed on the agenda of the Graduate Council Advisory Committee (ADCOM) that includes faculty representation from each UAB school and college. After review and approval by the APRC or ADCOM, program-related items are sent to the Provost for review and then to the President for final internal approval. At all stages of this process, consideration is given to how proposed programs (or aspects of programs) fit within the broad academic plan for UAB and how they support the institutional mission. For example, the recently approved Bachelor of Science degrees in Biomedical Science contribute to the health focus of the mission, and the Bachelor of Fine Arts in Musical Theatre contributes to the cultural aspect. The Master of Science in Management Information Systems adds to the economic benefit of Birmingham, the state, and beyond.

Program proposals approved by the UAB President are submitted to the Chancellor of the University of Alabama System for consideration by the Academic Affairs, Student Affairs, and Planning Committee of the Board and the Board as a whole. Items approved by the Board are transmitted to ACHE. ACHE addresses relevancy of the program to the institution's role and mission as part of its approval process as outlined in the ACHE Criteria for Evaluation of New Programs of Instruction. Key criteria in the evaluation of new proposals include relevance of institutional role, need, collaboration among other institutions, program objectives and content, student availability and demand, program completion requirements, institutional context, program administration, accreditation, resources to support the program, financial support, distance education technology, and program viability.

Curricular Review
Courses and curricula are reviewed annually in preparation of catalogs; the 2014-2015 Undergraduate Catalog and 2014-2015 Graduate Catalog show the product of this effort. The combined implementation of CourseLeaf for catalog management and DegreeWorks (locally branded as GPS) for degree completion determination led to an extensive review of degree requirements at the undergraduate level in order to eliminate any ambiguity in degree requirements, such a individual approval electives by a program director.

The accreditation of multiple schools and programs by their respective agencies assures that these programs are appropriate to higher education, coherent, and compatible with their stated purposes. These regular reviews by peer experts examine curricula, resources, facilities, and, in many cases, achievement of student learning outcomes. External reviews of specific disciplines conducted by peers in those disciplines using criteria that are applied across institutions provide a solid benchmark against which to judge the institution's programs. No school or program at UAB that has applied for accreditation has not been accredited.

Examples of Curricular Coherence
Degree programs demonstrate coherence of study within their curricula by the progression of courses, which is typically managed through course-level co/prerequisites or cohort-based instruction. Reports from Banner, the student records system, of the course co/prerequisites for the College of Arts and Sciences, School of Business, School of Education, School of Engineering, School of Health Professions, School of Nursing, Joint Health Sciences, and School of Optometry are evidence of the course progressions.

Undergraduate Curricula
The Undergraduate Academic Experience, which is described in the 2014-2015 Undergraduate Catalog, shows the coherent course of study that all UAB baccalaureate students undergo. The Shared Vision for a UAB Undergraduate emphasizes the importance of Communication, Knowledge, Problem Solving, and Citizenship. Furthermore, the Discussion Book, First Year Experience Course Requirement, and Core Curriculum Requirements all lead to coherence in the education of UAB's undergraduates. Finally, all undergraduate curricula at UAB have a capstone requirement which is completed in the final year of study, assuring a summative
Specific examples of learning progression of undergraduate programs are described below, with the link showing the catalog of curriculum requirements. Some programs, such as Biology and Psychology, use a series of courses at the lower-levels to prepare students for their upper-level courses, whereas other curricula, such as Accounting and Public Health, have sequences in their upper-level courses that build upon discipline-specific skills. Curricula in the health-related and clinical fields will often place students in cohorts that complete their upper-level courses in a prescribed sequence, such as Nursing and Medical Technology. Very prescriptive programs, such as Biomedical Engineering, have multiple, overlapping curricular sequences. These examples show the most common and applicable prerequisite case, not all of the possibilities. Two examples, the Bachelor of Science in Biology and the Bachelor of Science in Psychology are shown below; analysis of all programs mentioned above is also attached.

Bachelor of Science in Biology

Completion of the biology program depends upon a strong foundation in the fundamentals of biology and chemistry. Examples of the prerequisite sequence among required courses include:

- BY 123 - Introductory Biology I: None
- BY 124 - Introductory Biology II: Requires completion of BY 123 - Introductory Biology I with a grade of "C" or better.
- BY 210 - Genetics: Requires completion of BY 123 - Introductory Biology I and BY 124 - Introductory Biology II with grades of "C" or better.
- CH 115/116 - General Chemistry I and Laboratory: None
- CH 117/118 - General Chemistry II and Laboratory: Requires completion of CH 115/116 - General Chemistry I and Laboratory with a grade of "C" or better.
- CH 235/236 - Organic Chemistry I and Laboratory: Requires completion of CH 117 - General Chemistry II with a grade of "C" or better.
- CH 237/238 - Organic Chemistry II and Laboratory: Requires completion of CH 235 - Organic Chemistry I with a grade of "C" or better.

Combinations of these courses are the prerequisites for the majority of the junior- and senior-level biology courses. The curriculum is completed with a variety of capstone course options.

Bachelor of Science in Psychology

Completion of the psychology program depends upon a strong foundation in the fundamentals of psychology which is further developed in the junior- and senior-year electives. The curriculum experience is completed with PY 490 - Psychology Capstone.

The prerequisite sequence among required psychology courses is:

- PY 101 - Introduction to Psychology: None
- PY 212 - Developmental Psychology: Requires completion of PY 101 - Introduction to Psychology.
- PY 215 - Research Literacy in Psychology: None
- PY 216 - Elementary Statistical Methods: Requires completion of MA 105 - Pre-Calculus Algebra or higher mathematics course with a grade of "C" or better.
- PY 218 - Abnormal Psychology: Requires completion of PY 101 - Introduction to Psychology.
- PY 253 - Brain, Mind and Behavior: Requires completion of PY 101 - Introduction to Psychology.
- PY 315 - Methods in Psychological Research: Requires completion of PY 215 - Research Literacy in Psychology and PY 216 - Elementary Statistical Methods with grades of "C" or better.

**Graduate Curricula**

Curricular coherence is demonstrated at the Master's degree level by cohort-based structures and/or course prerequisites and comprehensive examinations. Examples of each are given below.

**Master of Engineering, Advanced Safety Engineering and Management track**

The Master of Engineering Advanced Safety Engineering and Management track (ASEM) has a foundational course, ASEM 610 - Intro to System Safety, that is the prerequisite to the remainder of the courses. The curriculum is culminated with a two course capstone project which requires a student to have completed eight ASEM courses. Thus, it demonstrates coherence by both prerequisites and a summative project. Required courses and their prerequisites are:

- ASEM 610 - Intro to System Safety: None.
- ASEM 611 - Hazard Analysis & Waste Elimination: Requires completion of ASEM 610 - Introduction to System Safety with a grade of "C" or better.
- ASEM 612 - Engineering Risk: Requires completion of ASEM 610 - Introduction to System Safety and ASEM 611 - Hazard Analysis & Waste Elimination with grades of "C" or better.
- ASEM 613 - Human Performance and Engineering Design: Requires completion of ASEM 610 - Introduction to System Safety with a grade of "C" or better.
- ASEM 614 - Engineering Ethics and Acceptable Risk: Requires completion of ASEM 610 - Introduction to System Safety with a grade of "C" or better.
- ASEM 615 - Lead through Climates of Change: Requires completion of ASEM 610 - Introduction to System Safety with a grade of "C" or better.
- ASEM 616 - Policy Issues in Prevention through Design: Requires completion of ASEM 610 - Introduction to System Safety with a grade of "C" or better.
- ASEM 617 - Crisis Leadership and Safety-Critical Design: Requires completion of ASEM 610 - Introduction to System Safety with a grade of "C" or better.
ASEM 618 - Intrapreneurship & Calculated Risk Taking: Requires completion of ASEM 610 - Introduction to System Safety with a grade of "C" or better.


Master of Science in Genetic Counseling

The Master of Science in Genetic Counseling uses a cohort-based system of instruction. By its design and nature, courses build upon previous instruction and experiences. The term-by-term schedule is given below:

First Year, First Term
- GC 501 - Genetics in Medicine
- GC 510 - Introduction to Genetic Counseling
- GC 560 - Genetic Counseling Journal Club
- GC 725 - Advanced Medical Genetics
- CDS 610 - Research Design and Statistics
- ECG 621 - Theories of Individual Counseling

First Year, Second Term
- GC 504 - Prenatal Genetics, Embryology and Teratology
- GC 505 - Principles of Cancer and Adult Genetics and Counseling
- GC 506 - Theory and Practice of Genetic Counseling
- GC 560 - Genetic Counseling Journal Club
- CDS 625 - Analysis of Scientific Publications
- ECG 628 - Social and Cultural Diversity

First Year, Summer Term
- GC 650 - Clinical Laboratory Rotation
- GC 651 - Clinical Rotation I

Second Year, First Term
- GC 560 - Genetic Counseling Journal Club
- GC 600 - Advanced Clinical Skills in Genetic Counseling
- GC 652 - Clinical Rotation II
- GC 653 - Clinical Rotation III
- GC 698 - Non-thesis Research
- CDS 500 - Fundamentals of Phlebotomy and Body Fluid Collection

Second Year, Second Term
- GC 560 - Genetic Counseling Journal Club
- GC 602 - Advanced Topics in Genetic Counseling
- GC 654 - Clinical Rotation IV
- GC 655 - Clinical Rotation V
- GC 698 - Non-thesis Research
- CDS 605 - Survival Spanish for Health Professionals

The thesis demonstrates coherence at the master's level for students who complete Plan I as shown in the 2014-2015 Graduate Student Handbook.

Coherence in the research-based doctoral programs is demonstrated through the requirement of a comprehensive examination and a dissertation as shown in the 2014-2015 Graduate Student Handbook.

Coherence in the D.M.D., M.D., and O.D. degrees is demonstrated by their fixed curricula that comply with the standards for their accrediting agencies, American Dental Association Accreditation Standards For Dental Education Programs, Liaison Committee on Medical Education Standards for Accreditation of Medical Education Programs Leading to the MD Degree, and American Optometric Association Professional Optometric Degree Standards, respectively. The curricula for the D.M.D., M.D., and O.D. degrees show the course requirements and schedules.

Sources (In Order of Appearance)
2.7.3

General Education

In each undergraduate degree program, the institution requires the successful completion of a general education component at the collegiate level that (1) is a substantial component of each undergraduate degree, (2) ensures breadth of knowledge, and (3) is based on a coherent rationale. For degree completion in associate programs, the component constitutes a minimum of 15 semester hours or the equivalent; for baccalaureate programs, a minimum of 30 semester hours or the equivalent. These credit hours are to be drawn from and include at least one course from each of the following areas: humanities/fine arts; social/behavioral sciences; and natural science/mathematics. The courses do not narrowly focus on those skills, techniques, and procedures specific to a particular occupation or profession. If an institution uses a unit other than semester credit hours, it provides an explanation for the equivalency. The institution also provides a justification if it allows for fewer than the required number of semester credit hours or its equivalent unit of general education courses. (General education)

Judgment

☑ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

A Substantial Component of Each Degree

Catalog Information

The General Education/Core Curriculum credit hour distribution for all programs, except for the engineering majors, is shown below.

<table>
<thead>
<tr>
<th>Core Curriculum Area</th>
<th>Minimum Number of Hours Required</th>
<th>Number of Courses Available in UAB Catalog</th>
</tr>
</thead>
<tbody>
<tr>
<td>Area I. Written Composition</td>
<td>6</td>
<td>2</td>
</tr>
<tr>
<td>Area II. Humanities and Fine Arts</td>
<td>12</td>
<td>48</td>
</tr>
<tr>
<td>Area III. Natural Sciences and Mathematics</td>
<td>11</td>
<td>29</td>
</tr>
<tr>
<td>Area IV. History, Social, and Behavioral Sciences</td>
<td>12</td>
<td>24</td>
</tr>
<tr>
<td>Total Areas I-IV</td>
<td>41</td>
<td>103</td>
</tr>
</tbody>
</table>

The School of Engineering requires 35 credit hours of General Education courses out of 128 total hours, with required hours in Areas II and IV reduced from 12 to 9 credit hours each. These reductions were necessary so that required mathematics and science courses could be taken prior to transfer in order to meet engineering accreditation requirements in place at the time the general education requirements were aligned with the Alabama Articulation and General Studies Committee template. However, engineering students are able meet the overall goals set for all university students in terms of the breadth of knowledge.

Students may satisfy some of the requirements by presenting credit earned through Alternate Credit Opportunities, which include Advanced Placement (AP), International Baccalaureate (IB), College Level Examination Program (CLEP), and Credit by Examination (CBE). Non-collegiate Courses evaluated in accordance with American Council on Education recommendations, Credit for Military Experiences, and Dante’s Subject Standardized Tests (DSST).

Publication of General Education Requirements

The UAB Core Curriculum requirements are available to students and the public in the 2014-2015 Undergraduate Catalog. This information includes course listings, descriptions, and credit hour requirements for each Area. Together, these General Education requirements ensure exposure to the major areas of organized human knowledge traditionally studied in higher education: written composition, the arts, humanities, history, social and behavioral sciences, natural sciences, and mathematics.

Catalog Enforcement, Articulation, and Exceptions

While specific degree requirements are the responsibility of the appropriate schools/college, all advisors are trained in both the structure and rationale for a liberal arts curriculum and are also charged with guiding students through the Core Curriculum. UAB uses Ellucian Degree Works, which has been internally branded “GPS” for Graduation Planning System, for its academic advising, transfer articulation, and degree audit solution. GPS includes core curriculum and programmatic requirements for each major and catalog year. In cases where multiple courses will meet a requirement, those options are listed. Examples of GPS audits for students majoring in Accounting (online degree program), Biology, Early Childhood Education/Elementary Education, and Mechanical Engineering show requirements that have been met and unmet and current enrollment. It should be noted that a student can complete the UAB Core Curriculum requirements using online course offerings. The list of courses satisfying core curriculum requirements that were offered online in academic year 2013-2014 is provided. A student can meet all requirements of Areas I-IV, including course sequences.

Students and their advisors may consult GPS and its associated tools to track their progress toward graduation, see a complete list of requirements for any major, calculate their grade point average, and discover how a change in major might affect their progress toward graduation. The What-If function allows students to hypothetically change their major, minor, or concentration. The What-If audit shows the coursework required for the new major, minor, or concentration, what courses that have been taken that satisfy requirements, and what courses are still left to take. Examples of What-If audits for changes in major (Mechanical Engineering to Computer & Information Sciences), minor (Art History to Sociology), and concentration (Mass Communication-Journalism to Mass Communication-Broadcasting) show the new requirements. BlazerNET (the student, faculty, and staff portal to student records and information) provides advisors with additional information, such as transfer information (schools, GPA, and coursework), student holds, test scores, class schedules, application for degree status, and degrees awarded. BlazerNET Student Fact Sheet examples are provided for students.
Students may apply courses taken at other colleges and universities to the core curriculum if those courses meet transfer requirements which are outlined in the Undergraduate Catalog. Briefly, technical/vocational credits or remedial credits may not be used to satisfy any degree requirements at UAB, including General Education. Transfer credit in academic subjects will be considered for transfer to UAB from post-secondary institutions that are fully accredited by one of the six regional accrediting associations that offer the baccalaureate degree or associate's degree leading to the baccalaureate degree. If an institution is not yet accredited, but has acquired candidate status from a regional accrediting agency, then academic credits from the institution will be considered for transfer to UAB.

The Alabama Articulation and General Studies Committee's (AGSC) Statewide Transfer and Articulation Reporting System (STARS) lists approved basic general studies courses for all of the public four-year institutions of higher education and the two-year college system in Alabama. This web-accessible database system provides guidance and direction for these prospective transfer students. Courses from other regionally-accredited institutions, many of which may be applied to Areas I-IV, are articulated through the UAB Transfer Center. Staff members make an initial determination if a course closely meets the description of an existing UAB course or the general description of Core Curriculum Areas II-IV for 100- and 200-level courses with exceptions for courses that meet a specific degree requirement in a school/college. For example, ME 102 - Engineering Graphics is evaluated by the Department of Mechanical Engineering. Students who believe that this determination is incorrect may submit additional materials to the academic department for review by the chair or designee through the Transfer Center. Courses above the 200-level or specific to a school/college major requirement are forwarded to the academic departments by the Transfer Center for review. Transfer Equivalency tables of all prior articulation decisions are maintained to assure consistent application of credit and facilitate the student transfer process.

Students seeking course substitutions or other exceptions to core curriculum requirements may petition Associate Provost for Assessment and Accreditation through their academic advisors. Most approvals are for courses that were articulated and (1) exhibited small differences in credits or (2) subjects/titles that UAB does not offer. Decisions are made on the basis of the broad requirements of Areas I-IV, catalog descriptions, UAB's transfer course mapping, and SACSCOC requirements. In all cases where petitions were approved, students met or exceeded the minimum number of credit hours of their programs of study.

Ensuring Breadth of Knowledge

Students are required to complete a minimum of six semester hours of Written Composition, at least 12 semester hours in Humanities and Fine Arts (with a minimum of three semester hours in literature, three semester hours in the fine arts, and the remaining hours from the humanities and/or fine arts), at least 11 semester hours in Natural Sciences and Mathematics (with at least three semester hours in mathematics at the pre-calculus algebra level or higher and at least eight semester hours in the natural sciences), and twelve semester hours in History, Social, and Behavioral Sciences (with at least a three-semester hour course in history and at least six semester hours from among other disciplines in the social and behavioral sciences). In meeting the requirements of Humanities and Fine Arts or History, Social, and Behavioral Sciences, students must elect a two-course sequence in literature or a two-course sequence in history. Further descriptions of each area follow:

- Area I: Composition is the standard, university-level two-course sequence in composition.
- Area II: Humanities and Fine Arts contains courses where students are expected to develop the ability to deal with issues in values, aesthetics, and/or ethics as they are manifested, for example, in the arts, literature, languages, philosophy, and theatre as well as to expose students to the methodologies of the respective disciplines. Fine arts courses must emphasize history and appreciation rather than performance.
- Area III: Natural Sciences and Mathematics requires at least three semester hours of mathematics at or above the pre-calculus algebra level and at least eight semester hours in the natural sciences which must include a laboratory experience.
- Area IV: History, Social, and Behavioral Sciences requires at least three semester hours in history; the remainder can be taken in any of the traditional social and behavioral science disciplines such as psychology, sociology, economics, political science, and anthropology.

General education at UAB is compatible with the statewide core that is administered by the AGSC which was implemented to allow students to easily transfer among state institutions.

A review of representative syllabi for each of UAB's General Education courses shows a consistent breadth of expectations for each area and the university-level learning outcomes. Syllabi for each course satisfying the Written Composition, Humanities and Fine Arts, Natural Sciences and Mathematics, and History, Social, and Behavioral Sciences areas of the Core Curriculum are provided.

Based on a Coherent Rationale

A coherent rationale for a general education curriculum includes a philosophical underpinning, well-defined learning outcomes, and courses identified with those outcomes. The philosophical underpinning to the UAB Core Curriculum lies in the expectation that a student graduating from UAB should be able to demonstrate the following fundamental core competencies, which are found in the 2014-2015 Undergraduate Catalog:

1. Reading and writing skills sufficient to ensure access to information and ideas in the institution's curriculum as well as in society at large.
2. An ability to make aesthetic judgments in the arts, literature, and humanities based on relevant historical, social, or philosophical contexts.
3. The ability to collect and evaluate information within the context of the scientific method and to use this ability to further one's understanding of the natural world.
4. The ability to apply mathematical skills and quantitative reasoning to solve problems and interpret information.
5. The ability to reason and evaluate information within the context of the social and behavioral sciences and use this ability to further one's understanding of the social, economic, and political environment.
6. Knowledge of contemporary and/or historical issues.
UAB’s Core Curriculum is the foundation for attaining the core competencies and is designed to ensure breadth in the student’s academic experience, while at the same time affording flexibility in satisfying requirements. The Core Curriculum provides students with essential competencies and introduces the student to broad areas of knowledge. Every undergraduate student is required to take a series of courses in Written Composition, Humanities and Fine Arts, Natural Sciences and Mathematics, and History, Social, and Behavioral Sciences.

The UAB Core Curriculum Matrix connects the four UAB Core areas and the six fundamental competencies. This matrix identifies how specific Core Curriculum courses introduce or reinforce each of the six core competencies. This relationship is shown graphically below:

![Core Curriculum Matrix Diagram](image)

A given course can contribute to multiple competencies. For example, the Written Composition literature courses address three of the six competencies, shown below:

![Core Curriculum Matrix Diagram with Competencies](image)

Students who achieve the above competencies in their general education coursework, and who then build on these competencies within their chosen majors, are well-equipped to meet the goals articulated in the Shared Vision for a UAB Graduate, goals that reflect high expectations for students in Communication, Knowledge, Problem-Solving, and Citizenship.

The General Education and Core Curriculum at UAB is based on a mutually agreed-upon state-wide Core Curriculum developed by the AGSC. The AGSC General Studies Curriculum partially addresses these elements of coherence with very broad statements related to each of the areas. The relevant statements for each area are:

- **Area I - Written Composition.** Effective written communication skills are essential in a literate society.
- **Area II - Humanities and Fine Arts.** Study in the humanities addresses the ability to deal with questions of values, ethics, or aesthetics as they are represented in literature, philosophy, religion, and the arts and is fundamental to general education. Courses should be broad in scope and content rather than specific and should emphasize a global perspective. Courses in the arts should emphasize history and appreciation rather than performance.
• Area III - Natural Sciences and Mathematics. Study in the natural sciences and mathematics emphasizes the scientific method and applies quantitative or inductive reasoning.
• Area IV - History, Social, and Behavioral Sciences. Study in history and the social and behavioral sciences deals primarily with the study of human behavior, social and political structures, and economics. Courses should be broad in scope and content, include global or international perspectives, and must emphasize the methods of inquiry in the social sciences.

For each of the Alabama community colleges and public universities, courses that satisfy the various areas must be approved by statewide, discipline-specific committees that interpret and apply the following general guidelines:

1. Courses must be collegiate-credit courses at the freshman or sophomore level (i.e., 100 or 200 level);
2. Courses must be broad in scope, present major intellectual or aesthetic ideas, and not be specialized or vocational in purpose;
3. Courses must present the essential characteristics and basic processes of inquiry and analysis in the discipline;
4. Courses must encourage the development of critical thinking skills and require students to analyze, synthesize, and evaluate knowledge;
5. Courses must consider the subject in its relation to other disciplines and its application to human concerns.

At the institutional level, new courses proposed to the General Education curriculum go through a rigorous review by the General Education/Core Curriculum (GE/CC) Committee. The approval process begins at the faculty/department level, proceeds to the appropriate Dean of the school or college, the GE/CC Committee, the Faculty Senate’s Curriculum Committee, and, ultimately, the Provost. For a new course to gain approval and be included in the Core Curriculum, it must be broad in scope and meet the general requirements of one of the four areas of the UAB General Education curriculum. The Core Curriculum Change Request Form, accompanied by the proposed syllabus, course description, credentials of the faculty who will teach the course, learning outcomes, and a detailed rationale for the specific “area” for which this course is proposed are all a part of the review process. New courses proposed for statewide inclusion must be approved by the AGSC.

The Core Curriculum is an important part of each degree program. Those individual degree program requirements are in the 2014-2015 Undergraduate Catalog and are more fully discussed in Comprehensive Standard 3.5.3.

Sources (In Order of Appearance)

[PDF] Alabama Articulation & General Studies Committee - Areas I-IV (Page 3)
[PDF] 2014-2014 Undergraduate Catalog (Page 65)
[PDF] GPS Example of Accounting Major
[PDF] GPS Example of Biology Major
[PDF] GPS Example of Early Childhood Education, Elementary Education Major
[PDF] GPS Example of Mechanical Engineering Major
[PDF] Online Core Curriculum Courses AY 2013-2014
[PDF] GPS Example of Mechanical Engineering Student What-If CIS
[PDF] GPS Example of Art History Minor What-If Sociology Minor
[PDF] GPS Example of Mass Comm-Journalism Concentration What-If Mass Comm-Broadcasting Concentration
[PDF] BlazerNET - Accounting Major
[PDF] BlazerNET - Anthropology Major
[PDF] BlazerNET - Civil Engineering Major
[PDF] 2014-2014 Undergraduate Catalog (Page 14)
[PDF] Alabama Articulation & General Studies Committee - STARS
[PDF] Transfer Credits (Page 3)
[PDF] Alabama Articulation & General Studies Committee - Background
[PDF] Syllabi for Written Composition
[PDF] Syllabi for Humanities and Fine Arts
[PDF] Syllabi for Natural Sciences and Mathematics
[PDF] Syllabi for History, Social, and Behavioral Sciences
[PDF] 2014-2014 Undergraduate Catalog (Page 72)
[PDF] Alabama Articulation & General Studies Committee - Areas I-IV
[PDF] Alabama Articulation & General Studies Committee - Course Approval Guidelines
[PDF] UAB Core Curriculum Request Change Application
2.7.4

Coursework for Degrees

The institution provides instruction for all course work required for at least one degree program at each level at which if awards degrees. If the institution does not provide instruction for all such course work and (1) makes arrangements for some instruction to be provided by other accredited institutions or entities through contracts or consortia or (2) uses some other alternative approach to meeting this requirement, the alternative approach must be approved by the Commission on Colleges. In both cases, the institution demonstrates that it controls all aspects of its educational program. (See Commission policy "Core Requirement 2.7.4: Documenting an Alternative Approach.") (Note: If an institution does not offer all course work for at least one degree at each degree level, it must request approval and provide documentation for an alternative approach that may include arrangements with other institutions. In such cases, the institution must submit information requested in Commission policy, "Core Requirement 2.7.4: Documenting an Alternate Approach." This information should be submitted as part of the Compliance Certification).

Judgment

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative

UAB provides instruction for all course work for at least one degree at all levels. Degree planning worksheets for the Bachelor of Science in Mechanical Engineering, the Master of Business Administration, and Doctor of Public Health with a concentration in Outcomes Research indicate the term(s) in the 2013-2014 academic year in which courses were offered. All courses fulfilling degree requirements were offered at least once in that academic year.

The applicable course descriptions for the Bachelor of Science in Mechanical Engineering, the Master of Business Administration, and Doctor of Public Health with a concentration in Outcomes Research were extracted from the 2014-2015 Undergraduate Catalog and 2014-2015 Graduate Catalog, and each required course was highlighted. In the case of the Bachelor of Science in Mechanical Engineering, non-core curriculum electives were also highlighted. Electives in the MBA program include all graduate courses in the School of Business, and electives in the Doctor of Public Health program include any 700-level course within the University with advisor approval.

Sources (In Order of Appearance)

- [PDF] Degree Curriculum Planning Worksheets
- [PDF] 2014-2015 Undergraduate Catalog - BSME
- [PDF] 2014-2015 Graduate Catalog - MBA
- [PDF] 2014-2015 Graduate Catalog - DrPH
- [PDF] 2014-2015 Undergraduate Catalog
- [PDF] 2014-2015 Graduate Catalog
Faculty

The number of full-time faculty members is adequate to support the mission of the institution and to ensure the quality and integrity of each of its academic programs.

Upon application for candidacy, an applicant institution demonstrates that it meets the comprehensive standard for faculty qualifications.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Definitions of Employment Categories

Types of Faculty Appointments

UAB faculty positions are described based on their tenure status, rank, and assignment category (full-time regular, full-time temporary, part-time regular, part-time temporary, and part-time regular, irregular).

Faculty who are employed full-time are categorized as tenured, tenure-earning, or non-tenure-earning. Section 2.6 of the UAB Faculty Handbook and Policies describes the faculty ranks within each of these categories:

- Instructor (non-tenure-earning)
- Assistant Professor (tenure-earning or non-tenure-earning)
- Associate Professor (tenured, tenure-earning, or non-tenure-earning)
- Professor (tenured, tenure-earning, or non-tenure-earning).

The Academic Librarians in the Lister Hill Library and Mervyn H. Sterne Library are appointed to the faculty ranks of Assistant Librarian, Senior Assistant Librarian, Associate Librarian, and Librarian.

Faculty ranks in the non-tenure earning track may include descriptive terms further defining their primary responsibility. Designation as Clinical, Research, or Teaching indicates the faculty member’s role in supporting the respective mission of the academic unit. Adjunct faculty are individuals who are not full-time University employees who have been appointed to the faculty to perform instructional, research, and/or service functions. Visiting appointments are issued as a courtesy to individuals from other institutions of higher education, agencies, or organizations who are on a temporary assignment. Units may hire faculty members to full-time temporary appointments when a candidate search cannot be conducted in sufficient time. Individuals in temporary positions must be appointed as regular faculty following a candidate search or terminated within two years.

Tenure-track and tenure appointments are normally full-time; however, under qualifying circumstances covered by Family Medical Leave, appointments can be part-time. Section 2.5.7 of the UAB Faculty Handbook and Policies describes full-time temporary designations, which are primarily used for short term (one year or less) appointments when a unit needs to hire a faculty member and there is not sufficient time to conduct a search. A faculty member appointed as a full-time temporary employee can be reappointed for a second year with approval of the chair, dean, and Provost. Irregular employees, as defined in You and UAB Handbook, are those employees who work either full-time or part-time and may be expected to work an irregular schedule. Credentialled Course Instructors, qualified individuals hired on a part-time, as-needed basis to support classroom instruction, are in this category. Credential verification is required for individuals appointed in this capacity before teaching courses.

Determining Needs for Full-Time Faculty

UAB's mission is to be a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond. As stated in Section 2.10 of the Faculty Handbook and Policies, faculty appointments, promotion, and award of tenure are based on a faculty member’s training, experience, and activities, as well as the potential for continued growth, in the areas of (1) teaching, (2) scholarly activities, including research and other creative activities, and (3) service. In the case of non-tenure-earning faculty, the requirement for demonstrated proficiency in one, two, or all three areas apply to appointment and promotion.

UAB determines the number of full-time faculty in each academic unit at the department or division level. Justification for additional full-time positions is made in the Faculty Recruitment Request (FRR) Form, a document reviewed by department chair, dean, and Provost before faculty searches can begin. The FRR form provides the distribution of effort and the requested position’s salary funding source(s), which couples faculty positions to the budgeting process and, therefore, credit hour production, service, research productivity, state funding, and clinical demands. Examples of FRR forms for positions in the Collat School of Business, College of Arts and Sciences, and Schools of Education, Medicine, and Optometry are provided.

The need for additional full-time faculty to achieve a department’s or division’s mission is part of the unit’s annual review, which would in turn be part of the school/college review by the Provost. Changes in school/college strategic plans or other initiatives such as new degree programs and new sponsored funding may also result in additional full-time positions. Proposals for new degree programs must address the need for additional faculty and the associated costs. New program proposals for the B.F.A. in Musical Theatre, B.S. in Biomedical Sciences, and B.S. in Public Health provide examples of documentation of faculty resources. ACHE Recommendations for the B.F.A. in Musical Theatre, B.S. in Biomedical Sciences, and B.S. in Public Health reflect an additional level of review of full-time faculty.
Faculty members and unit administrators annually discuss work load as part of the evaluation process. Work load is appropriately distributed among teaching, research, service, administration and clinical duties in order to meet unit goals/objectives/mission and individual professional goals. Excessive work load is considered in justifying additional full-time positions. Departments in units with large teaching responsibilities may utilize part-time and adjunct faculty as well as graduate teaching assistants to supplement full-time faculty in the classroom.

Faculty Adequacy in Supporting the University Mission

Instruction

A common measure of the adequacy of full-time faculty in supporting the instructional component of the mission is a comparison of the number of faculty to student enrollment. The table below provides this data over a ten-year period. Since 2004, the number of faculty has increased 22.5% from 1,776 to 2,176 in 2013. Student enrollment has increased during the same period by 11.2%, from 16,693 to 18,568.

<table>
<thead>
<tr>
<th>Term</th>
<th>Tenured/ Tenure-Earning</th>
<th>Non-Tenure- Earning</th>
<th>Total</th>
<th>Undergraduate</th>
<th>Graduate</th>
<th>DMD/MD/OD</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2004</td>
<td>1,197</td>
<td>576</td>
<td>1,776</td>
<td>11,441</td>
<td>4,275</td>
<td>977</td>
<td>16,693</td>
</tr>
<tr>
<td>Fall 2005</td>
<td>1,245</td>
<td>624</td>
<td>1,869</td>
<td>11,470</td>
<td>4,135</td>
<td>967</td>
<td>16,572</td>
</tr>
<tr>
<td>Fall 2006</td>
<td>1,267</td>
<td>696</td>
<td>1,963</td>
<td>11,284</td>
<td>4,302</td>
<td>975</td>
<td>16,561</td>
</tr>
<tr>
<td>Fall 2007</td>
<td>1,287</td>
<td>749</td>
<td>2,036</td>
<td>10,796</td>
<td>4,449</td>
<td>1,001</td>
<td>16,246</td>
</tr>
<tr>
<td>Fall 2008</td>
<td>1,270</td>
<td>775</td>
<td>2,045</td>
<td>10,369</td>
<td>4,755</td>
<td>1,025</td>
<td>16,149</td>
</tr>
<tr>
<td>Fall 2009</td>
<td>1,256</td>
<td>775</td>
<td>2,031</td>
<td>10,646</td>
<td>5,193</td>
<td>1,035</td>
<td>16,874</td>
</tr>
<tr>
<td>Fall 2010</td>
<td>1,254</td>
<td>778</td>
<td>2,032</td>
<td>11,028</td>
<td>5,483</td>
<td>1,032</td>
<td>17,543</td>
</tr>
<tr>
<td>Fall 2011</td>
<td>1,247</td>
<td>791</td>
<td>2,038</td>
<td>11,128</td>
<td>5,402</td>
<td>1,045</td>
<td>17,575</td>
</tr>
<tr>
<td>Fall 2012</td>
<td>1,269</td>
<td>828</td>
<td>2,097</td>
<td>11,291</td>
<td>5,663</td>
<td>1,045</td>
<td>17,999</td>
</tr>
<tr>
<td>Fall 2013</td>
<td>1,296</td>
<td>880</td>
<td>2,176</td>
<td>11,502</td>
<td>6,005</td>
<td>1,061</td>
<td>18,568</td>
</tr>
</tbody>
</table>

As of October 1, 2013, the University employed 2,176 full-time faculty. These faculty are distributed among the University’s schools, college, and libraries as shown in the table below.

Distribution of Faculty by School/College (as of 1-Oct-2013)

<table>
<thead>
<tr>
<th>School/College</th>
<th>Number of Full-Time Faculty</th>
<th>Number of Part-Time Faculty</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arts and Sciences</td>
<td>293</td>
<td>2</td>
</tr>
<tr>
<td>Business</td>
<td>61</td>
<td>1</td>
</tr>
<tr>
<td>Education</td>
<td>59</td>
<td>1</td>
</tr>
<tr>
<td>Engineering</td>
<td>64</td>
<td>1</td>
</tr>
<tr>
<td>Academic Joint Department</td>
<td>240</td>
<td>4</td>
</tr>
<tr>
<td>Public Health</td>
<td>84</td>
<td>3</td>
</tr>
<tr>
<td>Health Professions</td>
<td>94</td>
<td>6</td>
</tr>
<tr>
<td>Nursing</td>
<td>112</td>
<td>6</td>
</tr>
<tr>
<td>Optometry</td>
<td>37</td>
<td>6</td>
</tr>
<tr>
<td>Dentistry</td>
<td>61</td>
<td>10</td>
</tr>
<tr>
<td>Medicine</td>
<td>1,036</td>
<td>31</td>
</tr>
<tr>
<td>Libraries</td>
<td>35</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL</td>
<td>2,176</td>
<td>71</td>
</tr>
</tbody>
</table>

The School of Medicine has the greatest number of faculty as can be expected at an institution affiliated with an academic medical center. These faculty members typically have clinical responsibilities, in addition to academic, research, and service duties. The Schools of Dentistry and Optometry, while smaller, have similar responsibilities. The Academic Joint Departments (also known as Joint Health Sciences) are affiliated with both the Schools of Dentistry (SOD) and Medicine (SOM) and are primarily focused on graduate education and research. Faculty in the Academic Joint Departments are not counted in figures for the SOD or the SOM. The College of Arts and Sciences is comprised of 19 academic departments offering over 40 undergraduate and graduate degrees. In addition, the College has the largest undergraduate enrollment and general education instructional component. UAB Librarians have faculty appointments, although they do not typically teach credit-granting courses. The faculty in the Schools of Business, Education, Health Professions, Engineering, Nursing, and Public Health distribute their workloads between undergraduate and graduate education, research, and service activities. Many of their programs are accredited. The departmental distribution of full and part-time faculty is provided.

In addition to the main campus, UAB has off-campus locations in Huntsville, Alabama and Montgomery, Alabama where students in the School of Medicine may receive training as a part of their degree requirements. The Huntsville campus, opened in 2003, provides clinic space for third and fourth year medical students to receive on-the-job-training in the care of patients. The Montgomery campus was approved by ACHE in September 2013. Ten third-year medical students began taking classes at the Montgomery Campus in May 2014. The distribution of full-time faculty at each instructional location is shown in the table below.

Distribution of Faculty by Instruction Site (as of 1-Oct-2013)
A number of schools, departments, and programs have received discipline-specific accreditation, as shown in Facts and Figures 2013-2014. Faculty adequacy is assessed at this level, as it is common criteria for accreditation. No UAB program has ever lost its accreditation or been denied accreditation.

Adequacy of full-time faculty can also be demonstrated by examining credit hour production (CHP) by course level and instructor type. The majority of credit hours generated in the Fall 2013 semester were through courses taught by full-time faculty (73% of lower-level undergraduate, 86% of upper-level undergraduate, and 84% of graduate) as shown in the table below. The University provides support for supplemental instruction (adjunct (irregular) faculty, graduate teaching assistants) particularly at the lower-level undergraduate level where numerous sections of general education/core curriculum courses are offered. Adjunct faculty with expertise in areas of specialization are also utilized to supplement instruction in upper-level undergraduate and graduate courses.

### Credit Hour Production (CHP) by Course Level & Instructor Type for Fall 2013

<table>
<thead>
<tr>
<th>Course Level</th>
<th>Regular Full-Time Faculty</th>
<th>Temporary Full-Time Faculty</th>
<th>Regular Part-Time Faculty</th>
<th>Irregular Faculty/Weekend Staff Nurse</th>
<th>Graduate Teaching Assistants/Post Doc Employees</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CHP</td>
<td>Percent</td>
<td>CHP</td>
<td>Percent</td>
<td>CHP</td>
</tr>
<tr>
<td>Lower Level Undergraduate</td>
<td>60,688</td>
<td>66.3%</td>
<td>6,163</td>
<td>6.7%</td>
<td>564</td>
</tr>
<tr>
<td>Upper Level Undergraduate</td>
<td>40,896</td>
<td>83.9%</td>
<td>909</td>
<td>1.9%</td>
<td>327</td>
</tr>
<tr>
<td>Graduate</td>
<td>41,080</td>
<td>82.9%</td>
<td>471</td>
<td>1.0%</td>
<td>630</td>
</tr>
</tbody>
</table>

Courses in blended and online formats are also primarily taught by full-time faculty.

### Distribution of Faculty by Delivery Mode in Fall 2013

<table>
<thead>
<tr>
<th>Delivery Mode</th>
<th>Number of Full-Time Faculty</th>
<th>Number of Part-Time Faculty</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regular</td>
<td>2,376</td>
<td>12</td>
</tr>
<tr>
<td>Blended</td>
<td>16</td>
<td>1</td>
</tr>
<tr>
<td>Online</td>
<td>456</td>
<td>11</td>
</tr>
</tbody>
</table>

*Faculty may be counted multiple times if they teach multiple courses with different delivery modes.

Additional indicators of an adequate number of full-time faculty supporting the educational mission include an adequate amount of student-faculty interaction and student satisfaction with instruction. Two nationally-administered surveys assess these indicators.

The first survey, The National Survey of Student Engagement (NSSE), assesses the extent to which students engage in educational practices associated with high levels of learning and development. Hundreds of four-year colleges and institutions participate in the NSSE, which allows for benchmarking among peer institutions in the area of student engagement. UAB participated in the NSSE in 2000, 2003, 2006, 2009, and 2012, with participants including first-year students and seniors.

Five indicators of effective educational practice (or benchmarks) have been developed by NSSE, including Student-Faculty Interaction. Survey respondents are asked to indicate "never," "sometimes," "often," or "very often" to the following items:

### During the current school year, how often have you:

- Discussed grades or assignments with an instructor
- Talked about career plans with a faculty member or advisor
- Discussed ideas from your readings or classes with faculty members outside of class
- Worked with faculty members on activities other than coursework (committees, orientation, student-life activities, etc.)
- Received prompt written or oral feedback from faculty on your academic performance
- Worked with a faculty member on a research project

Benchmarks are computed on a 0 to 100 scale. The four response options are assigned values of 0 (never), 33.33 (sometimes), 66.67 (often), and 100 (very often). Benchmarks are created for each group of items by taking the mean of each student's scores so long as the student had answered three-fifths of items in any particular benchmark. Weighted averages of student-level scores for each class were used to create benchmarks. In the 2012 NSSE administration, the UAB responses were compared with 2 groups of peer institutions who participated in the NSSE in the same year: 9 Southern University Group (SUG) institutions and 16 institutions with Research University Carnegie Classification. Results from the 2012 NSSE are provided; a summary of the Student-Faculty Interaction Benchmark is shown below.

### NSSE 2012 Student-Faculty Interaction Mean Comparisons

<table>
<thead>
<tr>
<th>Class</th>
<th>UAB</th>
<th>SUG Members</th>
<th>Carnegie Class</th>
</tr>
</thead>
<tbody>
<tr>
<td>First-Year</td>
<td>36.0</td>
<td>33.5</td>
<td>33.3</td>
</tr>
<tr>
<td>Senior</td>
<td>43.5</td>
<td>42.3</td>
<td>41.5</td>
</tr>
</tbody>
</table>
UAB first-year students reported significantly more frequent interactions with faculty than their peers (p<.01 for SUG peers and p<.001 for Carnegie peers). Seniors reported about the same level as seniors in both comparison groups. First-year students reported meeting more frequently with faculty to discuss career plans than their peers at similar institutions. Seniors reported discussing grades or assignments with instructors more frequently than the NSSE comparison groups. These results indicate that at the undergraduate level, student-faculty interactions are comparable to those of two important peer groups.

The second survey administered to students is the Student Satisfaction Inventory (SSI), one of the survey instruments in the Noel-Levitz Satisfaction-Priorities Surveys. The SSI is a measure of student satisfaction with the institution meeting their expectations. The SSI covers a wide range of institutional activities and services, from academics to student services to extracurricular activities. The SSI is taken by undergraduate students and was administered at UAB in 2000, 2004, 2008, and 2011. Students are instructed to indicate on a scale of 1 (not important at all) to 7 (very important) the level of importance and satisfaction of expectations about experiences on the UAB campus. Survey results for UAB (from 2004, 2008, and 2011) and UAB compared to National 4-Year Public Universities (2011) are included in this documentation, as well as summary data showing only student satisfaction for UAB in 2004, 2008, 2011 and comparisons to National 4-Year Public Universities in 2011. Survey results from 2011 in areas pertaining to faculty responsibility as compared to national four-year public institutions are shown below.

### Comparison of UAB Student Responses with the Responses from all U.S. four-year Public Institutions

<table>
<thead>
<tr>
<th>Instructional Effectiveness Survey Question</th>
<th>UAB Satisfaction</th>
<th>UAB SD</th>
<th>National Four-Year Publics Satisfaction</th>
<th>National Four-Year Publics SD</th>
<th>Mean Difference and Significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Faculty care about me as an individual.</td>
<td>5.24</td>
<td>1.45</td>
<td>5.07</td>
<td>1.48</td>
<td>0.17***</td>
</tr>
<tr>
<td>8. The content of the courses within my major is valuable.</td>
<td>5.76</td>
<td>1.29</td>
<td>5.49</td>
<td>1.36</td>
<td>0.27***</td>
</tr>
<tr>
<td>16. The instruction in my major field is excellent.</td>
<td>5.77</td>
<td>1.27</td>
<td>5.47</td>
<td>1.39</td>
<td>0.30***</td>
</tr>
<tr>
<td>25. Faculty are fair and unbiased in their treatment of individual students.</td>
<td>5.51</td>
<td>1.39</td>
<td>5.21</td>
<td>1.49</td>
<td>0.30***</td>
</tr>
<tr>
<td>39. I am able to experience intellectual growth here.</td>
<td>5.91</td>
<td>1.22</td>
<td>5.55</td>
<td>1.33</td>
<td>0.36***</td>
</tr>
<tr>
<td>41. There is a commitment to academic excellence on this campus.</td>
<td>5.84</td>
<td>1.26</td>
<td>5.36</td>
<td>1.40</td>
<td>0.40***</td>
</tr>
<tr>
<td>47. Faculty provide timely feedback about student progress in a course.</td>
<td>5.38</td>
<td>1.49</td>
<td>5.08</td>
<td>1.53</td>
<td>0.30***</td>
</tr>
<tr>
<td>53. Faculty take into consideration student differences as they teach a course.</td>
<td>5.10</td>
<td>1.58</td>
<td>4.97</td>
<td>1.55</td>
<td>0.13***</td>
</tr>
<tr>
<td>58. The quality of instruction I receive in most of my classes is excellent.</td>
<td>5.72</td>
<td>1.29</td>
<td>5.37</td>
<td>1.40</td>
<td>0.35***</td>
</tr>
<tr>
<td>61. Adjunct faculty are competent as classroom instructors.</td>
<td>5.58</td>
<td>1.33</td>
<td>5.27</td>
<td>1.41</td>
<td>0.31***</td>
</tr>
<tr>
<td>65. Faculty are usually available after class and during office hours.</td>
<td>5.92</td>
<td>1.23</td>
<td>5.59</td>
<td>1.37</td>
<td>0.33***</td>
</tr>
<tr>
<td>68. Nearly all of the faculty are knowledgeable in their field.</td>
<td>6.06</td>
<td>1.10</td>
<td>5.68</td>
<td>1.31</td>
<td>0.38***</td>
</tr>
<tr>
<td>69. There is a good variety of courses provided on this campus.</td>
<td>5.84</td>
<td>1.30</td>
<td>5.43</td>
<td>1.48</td>
<td>0.41***</td>
</tr>
<tr>
<td>70. Graduate teaching assistants are competent as classroom instructors.</td>
<td>5.35</td>
<td>1.52</td>
<td>5.14</td>
<td>1.49</td>
<td>0.21***</td>
</tr>
<tr>
<td><strong>Overall Instructional Effectiveness</strong></td>
<td><strong>5.65</strong></td>
<td><strong>0.96</strong></td>
<td><strong>5.34</strong></td>
<td><strong>1.04</strong></td>
<td><strong>0.31</strong>*</td>
</tr>
</tbody>
</table>

These Noel-Levitz SSI data indicate that UAB undergraduate students are more satisfied with their instruction and courses than students at four-year public universities nationally. UAB student satisfaction over time is shown below.

### Comparison of UAB Student Satisfaction Between 2008 and 2011

<table>
<thead>
<tr>
<th>Instructional Effectiveness Survey Question</th>
<th>Spring 2011 Satisfaction</th>
<th>Spring 2011 SD</th>
<th>Spring 2008 Satisfaction</th>
<th>Spring 2008 SD</th>
<th>Mean Difference and Significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Faculty care about me as an individual.</td>
<td>5.24</td>
<td>1.45</td>
<td>5.00</td>
<td>1.54</td>
<td>0.24***</td>
</tr>
<tr>
<td>8. The content of the courses within my major is valuable.</td>
<td>5.76</td>
<td>1.29</td>
<td>5.46</td>
<td>1.38</td>
<td>0.30***</td>
</tr>
<tr>
<td>16. The instruction in my major field is excellent.</td>
<td>5.77</td>
<td>1.27</td>
<td>5.56</td>
<td>1.37</td>
<td>0.21***</td>
</tr>
<tr>
<td>25. Faculty are fair and unbiased in their treatment of individual students.</td>
<td>5.51</td>
<td>1.39</td>
<td>5.31</td>
<td>1.49</td>
<td>0.20***</td>
</tr>
<tr>
<td>39. I am able to experience intellectual growth here.</td>
<td>5.91</td>
<td>1.22</td>
<td>5.64</td>
<td>1.31</td>
<td>0.27***</td>
</tr>
<tr>
<td>41. There is a commitment to academic excellence on this campus.</td>
<td>5.84</td>
<td>1.26</td>
<td>5.53</td>
<td>1.35</td>
<td>0.31***</td>
</tr>
<tr>
<td>47. Faculty provide timely feedback about student progress in a course.</td>
<td>5.38</td>
<td>1.49</td>
<td>5.24</td>
<td>1.49</td>
<td>0.14**</td>
</tr>
<tr>
<td>53. Faculty take into consideration student differences as they teach a course.</td>
<td>5.10</td>
<td>1.58</td>
<td>4.92</td>
<td>1.57</td>
<td>0.19**</td>
</tr>
<tr>
<td>58. The quality of instruction I receive in most of my classes is excellent.</td>
<td>5.72</td>
<td>1.29</td>
<td>5.54</td>
<td>1.39</td>
<td>0.19**</td>
</tr>
<tr>
<td>61. Adjunct faculty are competent as classroom instructors.</td>
<td>5.58</td>
<td>1.33</td>
<td>5.35</td>
<td>1.48</td>
<td>0.23**</td>
</tr>
<tr>
<td>65. Faculty are usually available after class and during office hours.</td>
<td>5.92</td>
<td>1.23</td>
<td>5.71</td>
<td>1.30</td>
<td>0.21**</td>
</tr>
<tr>
<td>68. Nearly all of the faculty are knowledgeable in their field.</td>
<td>6.06</td>
<td>1.10</td>
<td>5.81</td>
<td>1.26</td>
<td>0.25**</td>
</tr>
<tr>
<td>69. There is a good variety of courses provided on this campus.</td>
<td>5.84</td>
<td>1.30</td>
<td>5.57</td>
<td>1.43</td>
<td>0.27**</td>
</tr>
<tr>
<td>70. Graduate teaching assistants are competent as classroom instructors.</td>
<td>5.35</td>
<td>1.52</td>
<td>5.09</td>
<td>1.62</td>
<td>0.26**</td>
</tr>
<tr>
<td><strong>Overall Instructional Effectiveness</strong></td>
<td><strong>5.65</strong></td>
<td><strong>1.45</strong></td>
<td><strong>5.41</strong></td>
<td><strong>1.04</strong></td>
<td><strong>0.24</strong></td>
</tr>
</tbody>
</table>

As shown in the data, UAB student satisfaction has improved in these same areas from 2008 to 2011. These results indicate that the institution’s constituents feel the UAB faculty are performing their responsibilities related to instruction. These differences are statistically significant.

The quality of UAB’s academic programs coordinated and overseen by the faculty is evidenced by the number of programs that have received national rankings. For example, online undergraduate programs in marketing and management offered by the Collat School of Business have been acknowledged as top national online degree programs. Graduate programs also garner national recognition. U.S.
News and World Report ranked 11 programs in the top 25 and five in the top 10, including its master’s in health administration that ranks fifth in the nation.

Research
The adequacy of full-time faculty supporting the University’s research mission is demonstrated by their high research productivity, which is one of the key missions of the institution. The University’s classification and rankings in this area are described below.

- According to the 2013 survey of "The Best Places to Work for Postdocs" conducted by The Scientist, UAB was 8th among all universities surveyed; identified instructional strengths were the Quality of Training and Mentoring and Career Development Opportunities and Networking.
- UAB is among 51 public and private universities classified by the Carnegie Foundation for the Advancement of Teaching as RU/VH, a research university with very high research activity.
- According to the Higher Education R&D (HERD) Survey conducted annually by the National Science Foundation, for 2010 UAB ranked 32nd in federally financed R&D expenditures and 36th in total R&D expenditures of all universities (>730) reporting data; among public institutions, UAB ranked 15th in federally financed R&D expenditures and 22nd in total R&D expenditures. This survey is the primary source of information on research and development expenditures at higher education institutions in the United States and outlying areas.
- According to data available in the NIH RePORTER (accessed 4/13/2012), with a total of 32 awards UAB ranks #10 among all NIH-funded institutions in the total number of active Center grants (P20, P30, P40, P50, P51, P60 PL1, PN2, U41, U48, U54, and UL1). For specific Center grant types, UAB ranks #1 in P30’s, #1 in U54’s, and is one of only five institutions to have more than one P60 award (Johns Hopkins University, University of Michigan, Washington University, and University of North Carolina-Chapel Hill being the others).
- UAB was ranked among the top 25 American research universities in the Top American Research Universities 2010 Annual Report compiled by The Center for Measuring University Performance, which evaluates data based on research funding, private support, faculty awards, faculty membership in National Academies, and doctoral and postdoctoral advanced training.
- In 2011, UAB was ranked among the top 100 universities worldwide in the Academic Ranking of World Universities in Life and Agriculture Sciences. UAB was also in the top 200 of all worldwide universities evaluated in the 2011 Academic Ranking of World Universities. This ranking system uses objective indicators, including the number of alumni and staff winning Nobel Prizes and Fields Medals, number of highly cited researchers selected by Thomson Scientific, number of articles published in Nature and Science, number of articles indexed in Science Citation.
- In the latest Performance Ranking of Scientific Papers for World Universities, UAB is ranked No. 31 in clinical medicine, No. 74 in life sciences and No. 126 in social sciences and No. 105 overall.

A look at the level of sponsored funding over the past ten-year period is further evidence of the faculty’s productivity.

### Sponsored Funds, 2004 - 2013

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Grants and Contracts Awarded</th>
<th>Number of Funded Investigators</th>
</tr>
</thead>
<tbody>
<tr>
<td>2004</td>
<td>$460,588,605</td>
<td>950</td>
</tr>
<tr>
<td>2005</td>
<td>$433,987,134</td>
<td>938</td>
</tr>
<tr>
<td>2006</td>
<td>$415,386,537</td>
<td>933</td>
</tr>
<tr>
<td>2007</td>
<td>$423,191,931</td>
<td>964</td>
</tr>
<tr>
<td>2008</td>
<td>$417,550,098</td>
<td>969</td>
</tr>
<tr>
<td>2009</td>
<td>$477,350,348</td>
<td>983</td>
</tr>
<tr>
<td>2010</td>
<td>$442,814,596</td>
<td>898</td>
</tr>
<tr>
<td>2011</td>
<td>$412,973,747</td>
<td>871</td>
</tr>
<tr>
<td>2012</td>
<td>$379,392,873</td>
<td>914</td>
</tr>
<tr>
<td>2013</td>
<td>$365,593,648</td>
<td>911</td>
</tr>
</tbody>
</table>

These rankings provide clear evidence that the instruction has an adequate group of extremely productive faculty members who work within both disciplinary departments and schools/colleges and within 23 University-wide Interdisciplinary Research Centers and interdisciplinary centers and institutes to conduct research in support of UAB’s mission.

Service
University full-time faculty support the service component of the UAB mission by making contributions to improve education, health, and quality of life; to spur economic development; and to contribute to advancement of knowledge in their fields of expertise.

UAB Hospital draws upon the clinical expertise of the faculty from the Schools of Dentistry, Medicine, and Optometry to advance patient care. UAB Hospital is the largest hospital in Alabama (and 3rd largest public hospital in the U.S.), housing the state’s only level 1 adult trauma center and a world Comprehensive Transplant Institute. UAB Health System treats more than a million patients annually. UAB Hospital is the only hospital in the state to be listed in every issue (24 straight years) of U.S. News and World Report’s “America’s Best Hospitals,” which recognizes only three percent of hospitals nationally and ranks first locally for patient satisfaction in HHS surveys.

UAB’s Comprehensive Cancer Center, among the first eight such centers to be designated by the National Cancer Institute in the early 1970s, remains the only one in Alabama and a six-state region. The Center took a quantum leap recently with the renovation of the Wallace Tumor Institute, which will greatly accelerate research and care with an Advanced Imaging Facility and the most powerful cyclotron at any U.S. academic medical center.
UAB has an economic impact on Alabama that exceeds $5 billion annually and supports more than 61,000 jobs state-wide (one of every 33 jobs). For every dollar invested by the state, UAB returns $20. The Innovation Depot, in which UAB is a founding partner, is the largest business incubator in the Southeast, with 92 start-up companies and a $1 billion economic impact over the past four years.

Many UAB faculty currently hold top leadership positions in professional organizations in their disciplines, including President of the American Society of Forensic Odontology, President of the American Board of Nursing Specialties, President of the American Society of Neurochemistry, President-Elect of the Southern States Chapter of The American Association of Clinical Endocrinologists, Chair-Elect of the Council for the Advancement of Nursing Science, and President-Elect of the American Physiological Society.

**Awards and Honors**

There are many awards, fellowships, and memberships that are reflective of professional accomplishments that cross the boundaries of research, teaching, and service. Examples of recipients of these prestigious awards for UAB faculty include:

- **Fulbright Specialist Program** grants sponsored by the Bureau of Educational and Cultural Affairs within the U.S. Department of State. The Fulbright Specialist Program sends U.S. faculty and professionals to serve as expert consultants on curriculum, faculty development, institutional planning, and related subjects at academic institutions abroad for a period of 2 to 6 weeks. Since 2000, the following faculty members were Fulbright Specialist grantees:
  - Peter Anderson (Pathology)
  - Jack E. Davis (2002-2003, History)
  - Lynda Harrison (2003-2004, Nursing)
  - Chandrika J. Piyathilake (2011-2012, Nutrition Sciences)
  - David Schwefel (2011-2012, Psychology)
  - Deborah Kirk Walker (Nursing)
  - Stephanie Yates (Finance)

- The National Science Foundation Faculty Early Career Development (CAREER) Program offers the NSF’s most prestigious awards in support of junior faculty who exemplify the role of teacher-scholars through outstanding research, excellent education, and the integration of education and research within the context of the mission of their organizations.
  - Ragiv Hasan (Computer and Information Sciences)
  - David Hilton (Physics)
  - Ho-Wook Jun (Biomedical Engineering)
  - Eugenia Kharlampieva (Chemistry)
  - Karolina Mukhtar (Biology)
  - Thamar Solorio (Computer and Information Sciences)
  - Xincheng Yao (Biomedical Engineering)

- **Fellowships** - Many faculty have been elected to the status of Fellow in discipline-specific professional organizations through a highly selective, peer-reviewed process, based on their records of scientific achievement and original contributions that have advanced their fields of research.
  - National Academy of Inventors Fellows - Election to NAI Fellow status is a high professional distinction accorded to academic inventors who have demonstrated a highly prolific spirit of innovation in creating or facilitating outstanding inventions that have made a tangible impact on quality of life, economic development, and the welfare of society.
    - David E. Briles
    - Lawrence J. DeLucas (Optometry)
    - Richard B. Marchase (Vice President of Research and Development)
    - Dean L. Sicking (Mechanical Engineering)
  - The American Institute of Aeronautics and Astronautics (AIAA) Associate Fellow - Individuals who have accomplished or been in charge of important engineering or scientific work, or have done original work of outstanding merit, or have otherwise made outstanding contributions to the arts, sciences, or technology of aeronautics or astronautics.
    - Iwan J. Alexander (Mechanical Engineering)
  - American Academy of Microbiology - Fellows are elected through a highly selective, annual, peer review process, based on their records of scientific achievement and original contributions that have advanced microbiology.
    - David E. Bedwell
    - William J. Britt
    - Beatrice H Hahn
    - George M. Shaw
    - Charles L. Turnbough, Jr.
    - Casey T. Weaver, M.D.

- **Memberships**
  - National Academy of Sciences - Membership in the NAS is one of the highest honors given to a scientist or engineer in the United States.
    - Louise Chow (Biochemistry and Molecular Genetics)
  - Institute of Medicine of the National Academies - Membership is reserved for individuals who have demonstrated outstanding professional achievement and commitment to service. Election to the IOM is considered one of the highest honors in the fields of health and medicine.
• David B. Allison (Public Health)

• Other Significant Awards
  • National Medal of Technology and Innovation (the nation's highest honor for technological achievement, bestowed by the President of the United States on America's leading innovators) - Dean L. Sicking (Mechanical Engineering)
  • 2013 American Society for Testing and Materials (ASTM) International Professor of the Year - Haibin Ning (Materials Science and Engineering)
  • 2010 Myasthenia Gravis Foundation of America Nurse of the Year Award - Anne Williams (Adult/Acute Health, Chronic Care and Foundations)
  • 2014 Castle Connolly Medical Ltd. National Physician of the Year Award for Clinical Excellence - Michael S. Saag (Medicine - Infectious Diseases)
  • 2012 Society for Free Radical Biology and Medicine Lifetime Achievement Award for Research in Redox Biology - Victor M. Darley-Usmar (Molecular and Cellular Pathology)
  • 2014 Teratology Society F. Clarke Fraser New Investigator Award - Julia M. Gohlke (Environmental Health Sciences)

Summary
The UAB faculty cover the breadth of the University mission in teaching, service, research, and clinical activities. Their accomplishments and productivity as indicated by measures such as research funding and national recognition ensure quality and integrity of UAB's academic programs.

Sources (In Order of Appearance)

[PDF] Faculty Handbook and Policies (Page 21)
[PDF] You and UAB Handbook (Page 10)
[PDF] Faculty Handbook and Policies (Page 27)
[PDF] Faculty Recruitment Request - Collat School of Business
[PDF] Faculty Recruitment Request - College of Arts & Sciences
[PDF] Faculty Recruitment Request - School of Education
[PDF] Faculty Recruitment Request - School of Medicine
[PDF] Faculty Recruitment Request - School of Optometry
[PDF] Program Proposal BFA Musical Theatre (Faculty) (Page 11)
[PDF] Program Proposal BS Biomedical Sciences (Faculty) (Page 3)
[PDF] Program Proposal BS Public Health (Faculty) (Page 19)
[PDF] ACHE Approval - BFA Musical Theatre (Faculty) (Page 7)
[PDF] ACHE Approval - BS Biomedical Sciences (Faculty) (Page 8)
[PDF] ACHE Approval - BS Public Health (Faculty) (Page 8)
[PDF] Distribution of Faculty by School and Department
[PDF] Facts & Figures 2013-2014 (Page 20)
[PDF] UAB NSSE Results (2012)
[PDF] Noel-Levitz Data (UAB 11, 08, 04)
[PDF] Noel-Levitz Data (UAB 11, Nat Pub 11)
[PDF] Noel-Levitz Analysis (UAB 11, UAB 08, UAB 04, Nat Pub 11)
[PDF] US News & World Report Best Colleges Rankings
[PDF] The Scientist
[PDF] NSF HERD Survey 2010
[PDF] NSF HERD Survey 2010 (Page 22)
[PDF] Top American Research Universities (Page 18)
[PDF] Academic Ranking of World Universities in Life and Agriculture Sciences - 2011 (Page 3)
[PDF] Academic Ranking of World Universities - 2011 (Page 5)
[PDF] US News & World Report Best Hospitals Rankings
[PDF] Innovation Depot
2.9

Learning Resources and Services
The institution, through ownership or formal arrangements or agreements, provides and supports student and faculty access and user privileges to adequate library collections and services and to other learning/information resources consistent with the degrees offered. Collections, resources, and services are sufficient to support all its educational, research, and public service programs.

Judgment

Compliance Partial Compliance Non-Compliance Not Applicable

Narrative

Campus Libraries
The institution has two libraries that support all of its educational, research, and public service programs. Lister Hill Library (internet access required) is the largest biomedical library in Alabama and one of the leading such libraries in the South. It serves as a Resource Library in the National Network of Libraries of Medicine for the Southeast/Atlantic region. The collections of the library span seven centuries of knowledge with medieval manuscripts and some thirteen thousand rare books, bound journals, and books in the various health science disciplines, archival records and photographs, and electronic access to thousands of online journals and books. Access to electronic resources is available across the campus and remotely to authorized users. The library catalog is also available on the web and can be used to search for print, electronic, and media holdings. The number of books, bound journals, microforms, and other media currently held total approximately 343,535 volumes.

The Mervyn H. Sterne Library (internet access required) currently supports undergraduate and graduate degree programs and research in the arts and humanities, business, education, engineering, natural sciences and mathematics, and social and behavioral sciences. It houses a collection of approximately 1.24 million print volumes and provides access to various electronic resources. In addition to serving the university community through its local collection and learning/information resources, it is involved with many statewide programs that provide library resources and instruction to a variety of users.

Today, the Libraries collectively and collaboratively provide all faculty, students, staff, Alabama health care providers, and community users with access to library collections as well as to other learning/information resources. The two libraries complement each other, and there is very little duplication of collections. The missions of both the Lister Hill Library and the Sterne Library support and advance the UAB mission as a research university and academic health center by providing organized access to quality information in all formats, providing instruction in the nature and use of information resources, preserving information, and engaging in collaborative partnerships to meet the information needs of the university community.

Library Reorganization
Beginning in the Fall of 2012, an extensive study of library services was undertaken with the assistance of the Huron Consulting Group. Recognizing that the changing environment in higher education in general and UAB in particular provides new opportunities for improved library services, the study sought to identify areas for increased collaboration between the Libraries and opportunities for the development of new services (as noted in the Education Advisory Board’s report Redefining the Academic Library: Managing the Migration to Digital Information Services). The result of the study was a recommendation that the two library organizations be merged into a single library organization serving the entirety of UAB. That recommendation was approved by the President and Provost and, following a national search, John Meador was appointed inaugural Dean of Libraries beginning in August 2014. The functional merger of the two organizations will take place during the remainder of 2014/2015. While services will continue to be provided out of both buildings, the combination of resources will enable the Libraries to provide seamlessly the services that are most important to faculty and students. By eliminating some existing duplications in systems, the combined organization will recognize efficiencies that will enable the Libraries to shift more resources toward collections and new user services.

Library Access
The institution’s libraries provide users with various options for access and "personal control" of information, collections, and other learning/information resources.

Information concerning current library hours, resources, and user access and privileges are maintained on the respective library websites to ensure that all students, faculty, and staff have access to this information in a timely and convenient form. Both library websites direct users to searchable catalogs and supplementary lists of resources to enable easy identification of library holdings.

Access to electronic resources is provided through the library websites. These are the gateway to electronic books and journals, audiovisual materials, databases, and other electronic resources. Subject guides, tutorials, online demonstrations, and videos are all available through the websites. Users can also use the website to send email queries to reference librarians or to initiate real-time chat sessions with librarians.

As far as possible subject to licensing restrictions, information resources accessed through library websites are freely available. To facilitate off-campus access to licensed resources, the Libraries maintain proxy servers. This enables current students, faculty, and staff to access information resources from wherever they are as long as they have an internet connection. No special equipment or computer configuration is required.

Collection Development

The University of Alabama at Birmingham Page 41 / 320
The University of Alabama at Birmingham

The Libraries use a variety of additional targeted formal and informal assessment mechanisms. While each library focuses on the needs of its primary schools, they pool resources to acquire materials that will have broad use across the institution. All materials are licensed for use by the entire UAB community so that everyone can access resources regardless of which library initiated the license.

The Sterne Collection Development Policy and Lister Hill Library Collection Development Manual provide guidance for the librarians in the decision-making process regarding routine acquisitions, serials and standing orders, assessment and acquisition of gifts and exchanges, and in establishing priorities to guide organization, format, preservation, and deselection decisions. In addition, they define the scope of the existing collections and outline recommendations for future development of collections. The policies have been updated to recognize the changing nature of library collections as more content becomes available in a digital format.

Requests from faculty and students are a primary source of information for possible additions. Material that is essential to support the educational, research, and clinical activities broadly receives priority, and librarians maintain close contacts with faculty to establish appropriate acquisition priorities. Library faculty also maintain relationships with publishers and information providers to identify new resources that should be added.

New program proposals are another source of information for collection development. Since most new programs are based, to some extent, on existing programs, these reviews generally demonstrate that existing resources are in place to support these new programs, but they are also useful in identifying priority areas for librarians to focus on strengthening resources.

Other examples of targeted collection development activities:

In 2012, Lister Hill Library engaged in a project designed to better align resources with key research priorities. Working with the Deans of the Health Sciences schools, the top two or three investigators in each of the priority research areas were identified. These investigators were then invited to participate in structured telephone interviews in which they were asked to identify the key information resources in their areas (e.g., “If you were trying to recruit a colleague to come to UAB, what are the resources they would expect that we would have in place?”). While these interviews generally revealed positive views of the library’s performance and confirmed that in most cases the library held key resources, they were also very helpful in identifying some key gaps.

The Sterne Grant Program was established as a result of the endowment established by Mrs. Mervyn H. Sterne. Through this endowment, students and faculty will continue to benefit from her commitment to the Library. Faculty members submit proposals that have the potential for broad impact, interdisciplinary application, and benefit both faculty and student research and scholarship by:

- Providing support for junior faculty by acquiring books to support their research interests;
- Assisting departments to develop collections in areas that match advanced program specialties and teaching interests;
- Assisting departments in purchasing “big ticket” items that are too large to be purchased with annual book funds;
- Assisting departments to develop collections in areas of new research interests.

Examples of recently funded proposals include: Advancing UAB’s Collection on Computer Security, Digital Forensics, Mobile and Cloud Computing Security (funded in 2012); Design Thinking (funded in 2011); Studies in Ancient Egypt Archaeology, Art, Architecture, and Related Aspects: ca. 3000-332 BCE (funded in 2008); and Going Small: Nanoscale Particles in Optics, Biology, and Medicine (funded in 2006).

Responding to the rapidly changing information environment, UAB Libraries focus on access in lieu of ownership. UAB utilizes regional and national resources to meet local needs in a just-in-time manner. The Libraries rely on interlibrary loan and document delivery services. In addition, Lister Hill Library implemented in 2012 the Copyright Clearance Center’s Get It Now service to enable users to easily request articles without library intervention (costs are shared between the requestor and the library). The Libraries continue to investigate new and alternative mechanisms for obtaining materials. It is anticipated that library merger will provide additional opportunities for improving the strength of the collections.

Library Assessment

The Libraries use a variety of mechanisms to assess the adequacy of collections and services.

The LibQual+ surveys, developed by the Association of Research Libraries and run annually by many libraries across the country, are run every other year by each of the UAB libraries (Lister Hill Library during the fall semester and Sterne during the spring). The results of these surveys consistently show a high degree of satisfaction with the Libraries as a place and with the quality of services provided by library faculty and staff. 2013 survey results for Lister Hill Library and Sterne Library are provided.

The Sterne and Lister Hill librarians assess the collections when a new program of instruction is proposed. As examples, evaluations were completed during the proposal process for the new Bachelor of Science in Biomedical Sciences and the Bachelor of Science in Public Health. These evaluations include a description of existing and desired collecting levels, a collection assessment, and a statement of financial needs for the collection to support the proposed degree. There is also a description of the other area institutions that have collections that would support the new program of instruction. These evaluations by each library are submitted as part of the Notification of Intent to Submit a Proposal for a New Program of Instruction.

Many of the schools and programs go through individual accreditation reviews, and these reviews also provide the opportunity for assessing library collections and services (recent examples include the Schools of Dentistry, Education, and Medicine; it is worth noting that in the student survey for the School of Medicine accreditation, “In the Performance vs. Importance analysis..., Lister Hill Library emerged as the best performing aspect of the medical school overall”). These accreditation reviews verify the adequacy of library services and resources.

The Libraries use a variety of additional targeted formal and informal assessment mechanisms.
For example:

- The Lister Hill Library User Advisory Group meets monthly. The group includes students and faculty from the health sciences schools. Agenda items typically focus on major initiatives that are in the planning stages so that the views of users can be incorporated into the planning. Budget information is regularly shared with the group.
- To engage students, informal events (e.g., afternoon tea or morning hot chocolate) are held at Lister Hill Library several times a month. These are very well attended and provide opportunities for library staff to informally discuss services and needs.
- The Libraries regularly solicit input on specific issues in both high-tech (one question surveys on the website) and low-tech (flip charts in the front area of the library asking for comments to a particular question) formats.

Assessment of library instruction is discussed in detail in Comprehensive Standard 3.8.2.

UAB has used the Noel-Levitz Student Satisfaction Inventory to obtain undergraduate student opinions on a wide range UAB functions (for more information on this instrument, see Noel-Levitz SSI, internet access required). Survey results for UAB (from 2004, 2008, and 2011) and UAB compared to National 4-Year Public Universities (2011) are included in this documentation, as well as summary data showing only student satisfaction for UAB in 2004, 2008, 2011 and comparisons to National 4-Year Public Universities in 2011. Two questions apply to libraries: "Library staff are helpful and approachable" and "Library resources and services are adequate." Data shown below demonstrate that UAB students are more satisfied than their peers at public universities and that their satisfaction has improved with each survey administration. All comparisons are to UAB students in 2011, with positive changes indicating improvement or a more favorable rating.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>13. Library staff are helpful and approachable.</td>
<td>5.86</td>
<td>5.53</td>
<td>5.65</td>
<td>5.44</td>
</tr>
<tr>
<td>18. Library resources and services are adequate</td>
<td>5.92</td>
<td>5.52</td>
<td>5.76</td>
<td>5.68</td>
</tr>
</tbody>
</table>

**Off-campus Access**

Authorization for remote access to licensed resources is managed through proxy servers and the use of Blazer IDs, UAB computer login names. Access to chat sessions with librarians or to online tutorials and other assistance is freely available. Through these mechanisms, students who are off-campus (whether they are in officially designated distance courses or not), along with faculty who are off-campus, have the same access to electronic resources and library assistance as do individuals on campus. When print resources are required, these can be requested through interlibrary loan/document delivery.

**Partnerships and Interlibrary Loan**

The Libraries also provide users with access to information though their memberships in the following partnerships:

- Network of Alabama Academic Libraries (NAAL)
- Alabama Virtual Library (AVL)
- Alabama Libraries Exchange Service (ALLIES)
- Association of Southeastern Research Libraries (ASERL). UAB obtained access to over 5000 items in the past year via ASERL. The ASERL partnership also provides access to the Washington Research Library Consortium as of 2013.
- Consortium of Southern Biomedical Libraries (CONBLS)
- Online Computer Library Center (OCLC)
- LYRASIS
- Ex Libris Users of North America (ELUNA)

Finally, an interlibrary loan program through national library networks and other reciprocal agreements allow the Sterne Library and Lister Hill Library to obtain books, copies of book chapters, and journal articles from other libraries.

**Sources** (In Order of Appearance)

- Lister Hill Library website
- Mervyn Sterne Library website
- Lister Hill Library - Vision and Mission
- Sterne Library - Vision and Mission
- Huron Report on UAB Libraries
- Redefining the Academic Library (Page 8)
- UAB Dean of Libraries Announcement
- MHSCL Collection Development Policy
- Lister Hill Library Collection Development Manual
- Lister Hill Library Collection Assessment Project
2.10

**Student Support Services**

The institution provides student support programs, services, and activities consistent with its mission that are intended to promote student learning and enhance the development of its students.

**Judgment**

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

**Narrative**

As stated in its mission, "UAB is a research university and academic health center that discovers, teaches, and applies knowledge for the intellectual, cultural, social, and economic benefit of Birmingham, the state, and beyond." As illustrated in *Facts & Figures 2013-2014*, the student body is 62% undergraduate; 32% graduate; and 6% professional programs pursuing academic degrees of Doctor of Dental Medicine, Doctor of Medicine, and Doctor of Optometry. 64% of students are full-time and 36% are part-time.

This section focuses on student programs, services, and activities. Academic support services across the University are reported in Comprehensive Standard 3.4.9, while library support services are reported in Comprehensive Standard 3.8.1. The presentation is organized alphabetically by unit, with a brief description of the services and internal assessment/improvement processes.

**Career and Professional Development**

*Career and Professional Development (CPD)* (internet access required) provides the following to all undergraduate and graduate students in support of the mission of UAB:

- **One-on-one appointments**: career consultants meet one-on-one with students in their liaison areas to discuss resumes, cover letters, personal statements, graduate school admission, career selection, job search strategies, mock interviews, etc.

- **Group sessions/presentations**: job search and professional development presentations are made as requested by faculty and student organizations.

- **Company information sessions**: sessions are hosted where recruiters network with students in their areas of interest and give information about the company and any open opportunities.

- **On-Campus Interviewing**: interview days are organized by CPD on behalf of employers to connect them with qualified UAB students and alumni for specific job/internship opportunities.

- **Career Fairs**: 7-10 general and industry-targeted career fairs per academic year are coordinated to connect students and alumni with employers who have employment or volunteer opportunities.

- **ECG 300 Career Mapping**: This three credit hour course is taught by CPD staff guiding students in the job search process as well as teaching soft skills sought by employers to ensure career success and satisfaction.

- **Online Resources**: seven online resources are available to all UAB students and alumni and can be accessed from around the world. Career consultants frequently meet with students by email or phone, and one of the online resources allows the staff the option to have live video meetings.

  - DragonTrail Jobs is a career management site with 3,900+ active employers and 646 active job postings (as of 4/24/14); students can upload their resume for review, search and apply for jobs, register for events, and sign up for interviews for which they qualify.

  - InterviewStream (internet access required) allows students and alumni to create an interview using pre-recorded questions or use an existing interview to practice their interviewing skills; faculty also use this resource for professional development classroom assignments.

  - CareerShift provides access to the "hidden job market," making the job search process easier to manage. It is targeted toward graduate students and postdocs, but any UAB student or alumni can use it. CareerShift is accessed through DragonTrail.

  - **Career Assessments**

    - **TypeFocus** is an assessment tool for personality type and generates customized reports to help students choose effective career strategies; also helps set goals based on their responses and assists in professional development areas for career success and satisfaction. TypeFocus is accessed through DragonTrail.

    - **FOCUS** is an assessment tool geared toward freshmen and sophomores to help them make appropriate major and career choices.

  - **CareerSpots** (internet access required) is a website of videos discussing professional development and job/internship search topics.

  - Internships.com allows a UAB branded page for students to search for internships based on keywords, location, etc.

CPD solicits feedback from constituents after Career Fairs (employers and students), appointments (students), and resume reviews. In response, CPD has added more targeted career fairs and presentation topics. To improve online resources, CPD pulls usage data each month; the majority of the resources have seen an increase in usage, indicating that they are filling a student need. In the future, presentations will be recorded and uploaded to allow accessibility by students who are not on campus.
Hill University Center Operations

The Hill University Center (HUC) is focused space for student activities, services, and gathering. It was determined that UAB needed a student center that (1) provided more meeting space and dining options and (2) allowed for better interaction between campus services and students. Replacement was determined to be more cost effective and provided a better fit for long-term campus planning than renovation. The new facility is currently under construction and will open in fall 2015. The Student Center Transition website (internet access required) provides information on the new facility as well as a live video feed of construction. It should noted that student services are being maintained during the construction phase.

International Recruitment and Student Services

International Recruitment and Student Services (IRSS) (internet access required) provides the following to all international students admitted to the institution:

- **Immigration Assistance**: The IRSS office maintains a full-time staff of eight including an international student advisor who acts as the Primary Designated School Official (PDSO) for F-1 visas and a Responsible Officer (RO) for J-1 visas. The RO also assists international students and prospects with matters associated with getting visas (issuing I-20s and DS-2019s) and maintaining their status once students are on campus and enrolled in UAB. The advisor holds walk-in hours three days a week and students may make appointments anytime during the work week to see the advisor. The PDSO also provides guidance regarding Optional Practical Training (OPT) for F-1 Visa students and Academic Training for J-1 Visa students. IRSS personnel also manage the government SEVIS immigration system on behalf of the students and UAB.

- **International Student Advocacy Issues**: The IRSS office staff acts as an advocate for international students when necessary and appropriate in all aspects of student life and with the government related to their immigration statuses. When international students encounter issues that require assistance or guidance, the IRSS staff assists in any way it can and, if necessary, will direct students to other resources available to international students. The IRSS office staff acts as a resource for information and guidance on all aspects related to their student lives, including providing information concerning access to medical and psychological resources at UAB.

- **Recruitment Assistance**: International applicants and those interested in attending UAB will receive communication and guidance regarding becoming a UAB student from IRSS. Once admitted, students receive information and guidance on housing, meal plans, and the visa process from IRSS staff under the PDSO's guidance.

- **Cultural Adjustment Assistance**: The IRSS office provides cultural adjustment advice and guidance through information sessions at the beginning of a student's career at UAB, walk-in access to an international student advisor three days a week, access to the advisor via appointments during the work-week, and a weekly social hour designed to limit alienation among students (this program is open to the UAB community as a whole and attendees include American and international students, community volunteers, and faculty and staff). The office staff also help students understand the campus, community, and living and studying in the US in general through personal interaction, often on a weekly, and sometimes, daily, basis.

- **Provide Information and Orientation**: The IRSS office is a resource for information on many aspects related to international students’ lives, including things as simple as how to find the bookstore to more complex and personal issues such as providing information concerning access to medical and psychological resources available to them at UAB. For example, the IRSS office organizes an activity fair as part of international orientation for new students that connects incoming students with vendors who can provide services that students may need such as cellular telephone providers, apartments, banks, UAB Student Health, etc. to make it easier for students to focus more quickly on their adjustment to a new environment and their classes.

At the end of 2010, a **Student Survey** was completed to assess services at the then International Student Services office. This survey showed that students were generally satisfied with the quality of staff assistant prior to arrival (88%), immigration advising (86%), and felt that the staff was very knowledgeable about immigration laws and regulations (86%).

In 2012, in an effort to promote a positive atmosphere of inclusion for international students, faculty and staff, the IRSS office began holding a weekly social hour. Members of the UAB community, faculty, staff, and students meet every Friday during the academic year in the Smolian International House. These regular interactions with students, faculty, staff, and community members have resulted in an increased appreciation for providing quality student services and office processes and operations by the staff.

New Student Programs

The mission of UAB’s Office of New Student Programs (internet access required) is to welcome and introduce all entering students and their families to the University of Alabama at Birmingham. The programs and services of New Student Orientation are in place to help new students make a successful transition from their previous environments to the diverse academic and social cultures of the University.

The Office of New Student Programs plans and executes the following programs and services:

- **Campus Tours for prospective students and their families**
- **University Recruitment Events for prospective students and their families**
- **New Student Orientation for prospective students and their families**

In addition to in-person tours, the Office of New Student Programs provides a **virtual tour of the UAB campus** (internet access required) for students unable (or not required) to come to the physical campus for classes and/or a campus visit.

A survey instrument is administered on an optional basis to every student who visits campus for a formal campus visit and/or a university-sponsored recruitment program. A summary of survey results and comments from 2011-2014 are provided. Based on results from this survey instrument, the tour route has been reduced to accommodate less walking and to provide additional exposure to specific campus services/areas requested by students, i.e. residence halls and on-campus food venues.
A survey is also administered on an optional basis to every freshman who attends a freshman orientation session. Survey summaries from 2011, 2012, and 2013 are provided. Based on results, the daily program was altered to place financial aid information at the end of the day to allow for unlimited question time with experts in financial aid and student accounting.

**One Stop Student Services**

One Stop Student Services (internet access required) serves undergraduate and graduate students who need assistance with academic records, financial aid, registration, student accounting, ONE Card, and other related topics. Specifically, the One Stop can help students:

- Check their financial aid status
- Check their student account
- Request a transcript
- Update their permanent address
- Update their legal name with government issued documentation
- Make an online payment
- Understand why they may have a registration "hold"
- Adjust their course schedule
- Replace a lost ONE Card
- Purchase discounted tickets to local movie theaters and regional theme parks
- By providing notary service

Students that are not on campus but need assistance from One Stop can utilize their services through BlazerNET (the student, faculty, and staff portal to student records and information), their website, via phone, or via email.

The One Stop supervisory staff collects data to analyze the following:

- How many students visited their office
- What was the most popular reason for students to visit the office
- What improvements can be made that will empower the students to achieve their goals without an in-person visit or assistance of a professional

Annual reports for 2012-2013 and 2013-2014 give a detailed picture of the One Stop Student Services activities, accomplishments, and potential service improvements for the One Stop and across UAB. Examples include:

- Analysis showed that the number one reason for in-person visits to the One Stop was to submit immunization records, therefore, UAB transitioned to a third-party provider that allowed immunization records to be uploaded online.
- The One Stop office houses a secured drop box for students to drop off check payments to eliminate the need to visit another office which in many cases is acrross campus.

**Recreation Center**

Campus Recreation (internet access required) is the primary source of University-sponsored recreation and serves all fee-paying students as well as faculty, staff, alumni, and spouses or partners who purchase access memberships. It also provides numerous employment opportunities for students. Campus Recreation has the following programs and services for the entire undergraduate and graduate population:

- **Intramural Sports**: Every team league is offered in men's, women's, and co-rec format. Each league has a 4-week regular season followed by a single elimination playoff. Fall leagues include flag football, indoor soccer, dodge ball, water polo, floor hockey, and volleyball. Spring leagues include basketball, indoor soccer, softball, tennis, indoor football, kickball, and ultimate Frisbee.

- **Club Sports**: A club sport is a registered student organization that may provide a program of instruction, recreation, or competition in a specific sport or activity. Club Sports vary in size and instruction in order to meet the needs and interests of students, faculty, and staff.

- **Fitness Classes**: Fitness classes are organized classes taught by certified instructors. Approximately 60 classes per week are offered to meet the needs of the membership. About 40% of these classes are taught by UAB students.

- **Instructional/Studio V Classes**: STUDIO V is a premier fitness studio offering a variety of high intensity interval and performance enhancement classes to challenge anyone’s fitness level.

- **Outdoor Trips**: Campus Recreation annually hosts 42 outdoor trips covering the continental United States and islands. All trips are led by certified Wilderness First Responders, and no experience is necessary to attend a trip. Trips may require an additional fee for members and non-members.

- **Teambuilding**: Campus Recreation provides several different teambuilding packages for organizations or groups. Initiatives develop and enhance communication, teamwork, trust, cooperation, and planning. Team dynamics developed will empower the individual, create bonding relationships, allow for effective problem solving, bring out individual leadership skills, and establish team organization.

In addition to the regular use of the facility for physical fitness and recreation, the Center provides wellness programs such as personal training, massage, wellness catering, and health coaching. The Center also maintains a pool where aquatics programs such as swim lessons and life guard certifications are provided. The Center offers a series of day camps and summer camps for children run by undergraduate student employees.

Campus Recreation determines and assesses needs in two ways. The Campus Recreation Advisory Committee, made up of recreation
center members, student leaders, and campus recreation professionals, provides guidance and suggestions. Agendas of the November 2013 and April 2014 meetings are included. In addition, an annual member survey is performed (Campus Recreation Membership Survey Spring 2013, Campus Recreation Membership Survey Spring 2014) that solicits input from all members to assist campus recreation with meeting the needs of its membership. From these efforts, the student population asked for a free game room area, which was then created during the annual shutdown. Other feedback indicated the membership would like longer operational hours on Sunday. Sunday hours were extended to 9 p.m. starting Fall 2014.

**Reserve Officers Training Corps (ROTC)**

Army ROTC (internet access required) develops the future officer leadership for the United States Army. Through recruiting eligible students across campus and affiliated institutions, UAB Army ROTC trains, retains, and develops the leadership skills necessary to serve as a Second Lieutenant in the United States Army. All students are eligible to enroll in the Military Science Level I (MS 101 and MS 102 - Military Leadership) classes. These classes provide a background of the United States Army and introduce students to leadership concepts.

Army ROTC offers a wide range of summer training and educational/cultural experiences for Cadets who are in a contracted status. Career Professional Development Training (CPDT) includes the United States Army Airborne School, Air Assault School, and Northern Warfare (Mountaineering) School. Educational and Cultural Experiences include study abroad programs to a wide range of nations and an opportunity to study at the Western Hemisphere Institute for Security Cooperation.

Army ROTC requires hands-on and interactive leadership development, and distance learning is only approved on a case-by-case basis and typically only for Military Science Level IV Cadets. All of the restaurants are located on the main campus of UAB. Students may request an exception from the campus dining fee if they are taking off-campus or online courses.

Army ROTC conducts an annual Command Climate Survey. This survey facilitates anonymous input from ROTC Cadets about the command climate, Equal Opportunity climate, and training effectiveness. As a result, a Military Science I Cadet Orientation was added to the Fall Field Training Exercise to better prepare freshmen Cadets for the training during their tenure as a Cadet in ROTC. UAB Army ROTC also implemented a Military Science IV Cadet Academy prior to the beginning of the school year to include Cadet input to the development of the yearly training calendar. Army ROTC conducts continuous assessment and development of leadership traits among the ROTC Cadets. Assessments are conducted throughout the semester by objective means focused on leadership dimensions as defined by the U.S. Army. Physical fitness assessments are conducted 3-4 times per semester to determine the individual level of physical fitness of each Cadet.

**Restaurants**

UAB Campus Dining (internet access required) directly promotes the mission of UAB by providing students healthy and nutritious food that aids in their academic success. UAB's main dining hall is The Commons on the Green (internet access required). In addition, nine other retail locations spread throughout campus and campus catering that can be utilized by students, faculty, and staff. All students living on campus are required to purchase a meal plan, and all full-time undergraduate students are assessed a $225 campus dining fee. Locations are open from 7 a.m. until 1 a.m., with some locations open 24 hours during the final exam period. Campus Restaurants also supports the cultural and social component of UAB's mission statement by hosting monthly events to engage the UAB and Birmingham community. Some of these events revolve around specific themes of cultural cuisines such as Black History Month or Native American History Month. Lastly, UAB Campus Restaurants has a partnership with four local food trucks to provide a local option for students to use their meal plans.

All of the restaurants are located on the main campus of UAB. Students may request an exception from the campus dining fee if they are taking off-campus or online courses.

UAB Campus Restaurants distributes a consumer satisfaction survey once each fall and spring semester to measure customer loyalty at each on-campus location. Campus Restaurants utilizes a third party company, IPSOS, to distribute the survey via a web-based platform, collect the data, and formulate reports. The results of the survey are used to assess customer satisfaction and make appropriate changes to improve satisfaction.

The Spring 2014 Campus Restaurant Consumer Satisfaction Survey indicated a focus on customer service was needed at some of the locations. Customer service training was developed and implemented to the staff for the remainder of the semester.

Another method of assessment is tracking data, such as traffic patterns and high-sale menu items, from the point-of-sale system. This assessment has resulted in opening a new location in Lister Hill Library and closing a grab-and-go concept in adjacent Volker Hall. However, medical students who have class in Volker Hall indicated that they wanted a grab-and-go option. Data determined the top five best-selling items, and they have been incorporated into a grab-and-go format at the new location in Lister Hill. Various surveys and focus groups are conducted throughout the semester to assess students’ needs and requests.

**Spirit Teams**

The UAB Spirit Teams (internet access required) consist of:

- **Cheerleaders**: The cheerleading team is made up of approximately 20 males and females. They are responsible for being ambassadors for UAB at community events, all football games, men's and women's basketball games, volleyball games, and much more. They also represent UAB at the Universal Cheerleaders Association (UCA) College Cheer and Dance National Championship held every January in Orlando, FL. Cheerleaders receive a $2,250 scholarship for the year.

- **Golden Girls**: The dance team is made up of approximately 15 females. They are responsible for being ambassadors for UAB at community events, all home football games, men's and women's basketball games, volleyball games, and much more. They also represent UAB at the UCA College Cheer and Dance National Championship held every January in Orlando, FL. Golden Girls receive a $900 scholarship for the year.
• **Mascots**: The mascot program has 5 males and females who show their UAB Spirit as Blaze. They are present at every football game, men’s and women’s basketball games, volleyball games, community events, birthday parties, and so much more. Mascots receive a $2,250 scholarship for the year.

The role of a university is to prepare students to function effectively and engage responsibly in both the academic community and post-graduation life. Being a part of the Spirit Teams helps the student achieve these goals through the following areas:

- Grade Monitoring
- Community service and appearances
- Volunteering
- Team bonding
- Summer Camp
- Game practices and performances
- Competition practices and performances

As a result of participating on any of the UAB Spirit Teams, students will engage in activities that enhance personal wellness. Through practices, games, clinics, and other training activities, students will be able to demonstrate the proper techniques for performing their respective skills along with knowing the importance of training and nutrition. The program is evaluated through:

- Direct observation of skills training
- Critiques of performances
- Post-clinic evaluations on nutrition and other topics
- Year-end evaluations regarding participation

As a result of participating in the competition aspect of the Spirit Teams, students will engage in activities that help them develop the practical skills necessary to enter and succeed in the workplace including communication skills, leadership skills and the ability to work in a team setting. Students will learn the important values of group dynamics and be able to articulate these values to others.

As a result of participating in community events, students will engage in activities that enhance their understanding of ethics and civic responsibility. Interpersonal activities will prepare students for the variety of activities and audiences they will encounter and allow them to express an attitude of respect and open-mindedness.

**Student Activities**

*Student Activities* (internet access required) provides the following programs and activities for all students at UAB regardless of classification:

- **Ambassador Program**: This program is committed to serving the University by serving as the official hosts and hostesses at officially recognized activities, events, and meetings of the University of Alabama at Birmingham. This select group of 20 undergraduate and graduate students primarily serve as liaisons between the students, faculty, staff, administrators, and the entire UAB community. At all times, they embody through their demeanor and speech everything for which UAB stands. The 2013-2014 Student Activities Annual Report highlights accomplishments and analysis.

- **Lecture Series**: The UAB Lecture Series Committee is composed of students and faculty members who come together and invite producers, authors, community activists, and other notable figures to discuss topics centered on current events, leadership, social responsibility, and history. These events are open to all students, faculty, and staff. These lectures are intended to enrich the general intellectual and cultural life of the university community. The 2013-2014 Student Activities Annual Report highlights accomplishments and analysis.

- **Student Activities Council**: The Student Activities Council provides UAB undergraduate and graduate students with the opportunity for involvement and leadership experience through the ability to create fun and exciting programs that enhance the energy and campus life of UAB Students. The 2013-2014 Student Activities Annual Report highlights accomplishments and analysis.

- **Student Life Scholarships**: Available scholarships include Camille Armstrong Memorial, Aaron Lamar Jr., Emerging Leader, and Virginia D. Gauld National Alumni Society Endowed Scholarships. There are various eligibility requirements, but these scholarships are available to UAB students. The 2013-2014 Student Activities Annual Report highlights accomplishments and analysis.

- **Student Organizations**: UAB has an online portal for student organizations called BS\textit{\textasciitilde}ync (internet access required) where organizations have a variety of free tools to manage membership and maintain a website. Students may browse existing organizations, search for organizations by title or keyword, start a new organization, and join organizations through this tool. Students can access information on getting involved by going online, through handouts, by emailing Student Activities, or visiting Student Activities in the office.

Changes that have been made in response to these assessments of the annual reports include:

- Modifying the programming board model
- Updating access to the web sites
- Rearranging staffing duties
- Submitting proposals in an effort to gain more staff support to provide more programs and improved services.

**Student Engagement**

The Office of Student Engagement (internet access required) was created in March 2012 with the appointment of an Assistant Director, Case Manager, and Office Service Specialist. In March 2013, a Director was hired with over 13 years of experience in conduct, students of concern, and general Student Affairs service, and in March 2014, an additional Case Management Specialist was hired. The Student Engagement staff works with students to help identify and overcome barriers to success; help students get connected to campus and
community resources; serve as advocates to help students navigate the university system; provide referrals for longer-term care; conduct outreach and education to students and other campus community partners on relevant issues students may face; serve in consultation to staff, faculty, students and families; interpret and uphold the University Non-Academic Code of Conduct; and to provide a safe and inclusive campus community environment.

Birmingham Area Consortium for Higher Education (BACHE)
UAB was awarded a Department of Justice, Office of Violence Against Women Grant (effective May 2012), as a part of the Birmingham Area Consortium for Higher Education (BACHE institutions: UAB, Miles College, University of Montevallo, Birmingham-Southern College, and Samford University) joint grant partnership to develop and implement strategies to combat sexual assault, domestic violence, dating violence, and stalking. UAB has a Campus Coordinator for the BACHE consortium project focused on reducing campus Relationship Violence, Sexual Assault, and Stalking, and this Coordinator works with each of the five campuses through this grant. As of spring 2013, UAB has developed a Campus Community Response Team that meets approximately every three weeks to provide education, discussion, and development of strategies and efforts to assess and meet the areas identified in the grant. There are several representatives on this committee from Student Life, the Police Department, Housing, Athletics, Women's Center, New Student Programs, Counseling and Wellness, faculty, and student representatives. The goals of this grant are to establish a multidisciplinary Coordinated Community Response team and workgroups, develop and strengthen services for victims of campus violence, improve and strengthen educational programs for the prevention of campus violence, develop and implement programs to engage men as partners in violence prevention and promote cultural change in men's attitudes and beliefs about intimate partner violence, strengthen security and investigative strategies on campus, and establish a training program for all students, faculty, and staff.

CARE Team
The UAB Communicate, Assess, Refer, Educate (CARE) team helps find solutions for students experiencing academic, social, and crisis situations including mental health concerns. Members of the University community can report a concern for a student who might benefit from services or who has demonstrated distressed or disruptive behavior. The CARE team reviews reports which can be made online, in person, or via phone or email to any member of the CARE team, Office of Student Engagement, or Assistant Vice President for Student Life. The goal of the CARE team is to understand each student issue and the on- and off-campus resources that may guide them to success.

The CARE team steps in to connect students with relevant campus resources and outside agencies. Most times, it is necessary to communicate with the reporting party to help accurately assess the needs of the student. The CARE Team will also outreach to the student to understand his/her situation and develop a plan of action leading towards his/her success. The CARE team is composed of representatives from Academic Advising; the Assistant Vice President for Student Life, Health and Wellness Services (Counseling and Wellness and Student Health); One Stop Services; Student Engagement; Student Housing and Residential Life; and the University Police Department. The CARE team is co-chaired by the Director of Student Engagement and the Interim Director of Student Housing and Residential Life.

Members of the CARE team and Student Engagement staff use Workplace Assessment of Violence Risk (WAVR 21), which is a 21-item coded instrument for the structured assessment of targeted violence risk applied to the university community. The WAVR 21 is an instrument intended to help risk assessment specialists evaluate the existence, level, and nature of threat posed by community members.

The tools of the WAVR 21 reflect the static and dynamic risk factors known to predict community targeted or intended violence. The item domains in the tool include psychological, behavioral, historical, and situational factors associated with community violence. In practice, threat assessment and threat management are intertwined. Dynamic risk factors become the focus of ongoing interventions intended to reduce risk for students being managed by the CARE team. Assessment and monitoring are ongoing, and an individual's response to various interventions (e.g., escalation, de-escalation, or no apparent change) become part of the evolving opinion of risk level that is assessed by the CARE team and/or Student Engagement staff when working with students of concern.

Student Health Services
Medical and counseling services are provided to UAB students at the Student Health and Wellness Center (internet access required).

Student Health
Student Health and Wellness (SH&W) Services provides the following services for all tuition-paying students with no office visit charge or co-pay.

- Primary care health services - comprehensive care including acute and chronic care, women's health, mental health evaluation and treatment, sports medicine, and treatment of minor emergencies.
- Medical services provided by Board Certified physicians and Nurse Practitioners.
- Medical Clearance/Immunization services - serves as a liaison between students, schools/programs, and the online web-based medical clearance partner to assist with and monitor compliance of the UAB medical clearance/immunization policy.
- Serves as a liaison between students and the student health insurance plan, VIVA Student Health.
- SH&W supports of the mission of UAB by promoting both health and wellness, and physical and mental health to the students, and providing health education, all critical for student's academic success.

Students taking courses at off-campus instructional sites and/or online courses can access the services through an after-hours consultation operated through provider on-call coverage, 24 hours a day/7 days a week/365 days a year. The website also provides access to necessary information.

"Rounding" with students who visit the SH&W Center is done face-to-face on a monthly basis to determine those processes that are successful and those with a need for improvement. A new funding model was implemented to allow for unlimited access for all UAB enrolled, tuition-paying students. To improve access to appointments with little wait time, an "open access" scheduling system was initiated to address this issue.
**Counseling and Wellness Center**

The Counseling and Wellness Center (internet access required) provides individual, couple, and group therapy to currently enrolled undergraduate, graduate and professional students, ranging in age from 17 to over 60 years. The Center also promotes health and wellness by going into the classrooms, participating in health fairs on campus, and setting up tables at various locations on campus. Program topics include stress relief/management, depression, suicide, substance abuse, eating disorders and healthy relationships.

Students initially calling into the Center undergo an intake session to evaluate that student’s needs and appropriately schedule with member of the counseling staff. Several methods of screening are used including the standardized screening instrument (PHQ-9) which alerts the counseling team of the stress level and suicide level of that student. Students are asked to evaluate the Center’s services twice per year in order to gain feedback on the adequacy of how well the services are meeting their needs and to solicit suggestions for improvement. The survey instrument and the results from Fall 2013 and Summer 2014 are available.

**Women's Counseling Center**

The Women’s Counseling Center (internet access required) provides the following services and programs to all students:

- **Counseling Services**: The Center provides confidential counseling services for all currently enrolled UAB students. Services are provided by a Licensed Professional Counselor, with a special focus on struggles most commonly seen as women’s issues, such as sexual assault, sexual harassment, and eating disorders. Due to the confidential nature of the counseling relationship, counseling services may only be conducted in person.

- **Sexual Assault, Stalking, Dating Violence and Domestic Violence Prevention Programs**: The Center, in association with other UAB departments and off-campus organizations, develops and implements violence prevention programs and services. UAB has a Coordinated Community Response Team (CCRT) that works as a team to design assessments, services, and programs.

- **Outstanding Women Awards**: Each year, the Center, in association with the Commission on the Status of Women and The Women’s & Gender Studies program, selects and hosts the Outstanding Women Awards. A selection committee is comprised of 12 members from the UAB Campus and the Birmingham Community. Recipients are selected according to the following four criteria:
  - made it easier for other women to achieve;
  - has taken a courageous stance; has provided significant service to women; and/or
  - overcame adversity to achieve her goal.

- **Violence Prevention Programs**: Beginning in May 2014, "Every Choice," an online bystander intervention program, will be offered to all students. It will be strongly encouraged for all incoming undergraduate students (on and off campus) and available to all. The Equal Opportunity and Discriminatory Harassment Policy can be accessed from the Center’s website. "A Guide for Victims of Sexual Assault" can be accessed on the website, also.

In order to provide the improvements in services to the students served, the Women’s Counseling Center uses the following methods for assessment:

- **User Evaluations**: Two times per year (fall and spring semesters), students who utilize the counseling services of the Women’s Center (and Counseling & Wellness Center) are asked to complete a user evaluation. There has been a consistent request for a better physical atmosphere in the Counseling & Wellness Center waiting room, leading to improvements to the existing space. In July of 2014, the Women’s Center will become part of Student Health Services in a completely new and combined office complex to better serve students.

- **Student feedback and therapist observation**: Due to the nature of counseling, assessment of effectiveness, helpfulness, and student satisfaction/progress are continually being evaluated and adjusted during the therapy hour and from session to session. This continuous assessment guides the counseling process. No aggregate data are gathered. This assessment is done on an individual basis. (Examples of positive outcomes include: changes in binge/purge episodes, decrease in hypervigilence, increase in desire and ability to engage in life, and increase in use of healthy coping strategies).

**Student Housing and Residence Life**

Student Housing and Residence Life (internet access required) serves the students that live “on campus,” regardless of their classification status. All programming efforts are open to all residents, with the exception of the community programs. Community programming efforts are only open only to freshman residents.

Freshman Foundation Programming takes place during the first two weeks of classes to give freshmen the tools they need to be successful in navigating their college experience in these areas:

- Health & Wellness
- Multicultural Awareness & Social Justice
- Academic Success
- Community Development
- Civic Engagement & Service
- Personal & Professional Development
- Environmental Awareness & Sustainability

Community Monthly Programming is social in nature and strive to develop the freshman community through connecting them with both the campus and the community.

Resident Assistant Training takes place annually prior to the start of classes and provides student staff with the tools and resources they need to work successfully with both their team and residents throughout the year.
Monthly Personal/Professional Development Trainings are ongoing educational programming providing the student staff with developmental tools that will aid them in their success throughout the year. It is used to reinforce topics from Resident Assistant Training, but it can also be used to provide new information based on what the student staff is encountering during their experience on the team.

Services:

- 24 hour front desk coverage in all 5 residence halls - The front desk in each residence hall serves as a security measure and resource center for all residents.
- 24 hour on-call coverage in all 5 residence halls - The staff member on call can assist residents in any number of capacities. The assistance ranges from providing access to residents who are locked out of their rooms to providing counsel to residents in need. The on-call staff is responsible for assessing the situation and bringing in the appropriate crisis management team member.

Student Housing’s programming efforts are only accessible to students who live on campus, with the exception of programs that are done in partnership with other campus organizations.

Needs assessment surveys are distributed each month to residents and are used to determine the programming for the following month. An end-of-year survey is distributed and collected during move-out for all residents.

**Student Involvement**

Student Involvement supports the mission of UAB by creating educational experiences that engage all students, regardless of classification, through campus and community involvement and leadership development. Students are encouraged to be active participants in their college experience and to reflect and apply what they have learned to connect their curricular and co-curricular experiences, thus preparing themselves for careers and life beyond their years at UAB. The following programs and activities are part of Student Involvement:

- **Leadership Programs:**
  - The **UAB LEAD Team** is a group of 10 selected student leaders that are taught to plan and facilitate leadership workshops, retreats, and seminars to student organizations throughout the UAB community. UAB Lead Team also plans and conducts the high-profile Fall Leadership Conference and Winter Leadership Retreat for the University.
  - **Leadership Programs** provide various lectures on leadership topics, lunch with a leader, and various workshops throughout the year, in addition to Leadership Foundations, a four-semester, cohort-style interactive program that is designed to sharpen student leadership skills and prepare students for responsible citizenship in the community, nation, and world.

The **2013-2014 Student Involvement Annual Report** highlights accomplishments and analysis.

- **Civic Engagement:** The Leadership and Service Council, or LSC, is made up of 12 selected students who plan and execute the volunteer service activities such as Into the Streets, MLK Day of Service, and monthly and weekly service projects. This area also sponsors summer service trips, alternative spring break trips, and focused service weeks including September Service Madness, Hunger and Homelessness Week, Breast Cancer Awareness Week, and other events. The **2013-2014 Student Involvement Annual Report** highlights accomplishments and analysis.

- **Greek Affairs:** UAB has a growing Greek community with approximately 900 students involved in 23 Greek-letter organizations across four governing councils (Interfraternity Council, Multicultural Greek Council, Panhellenic Association, and the National Pan-Hellenic Council). The **2013-2014 Student Involvement Annual Report** highlights accomplishments and analysis.

- **Undergraduate Student Government (USGA):** The USGA (internet access required) is the voice of the undergraduate student body, meeting every two weeks with elected senators from each UAB school/college. It hosts forums and town halls giving students the opportunity to voice any concerns regarding the institution. The **2013-2014 Student Involvement Annual Report** highlights accomplishments and analysis.

- **Voter Registration:** Student Involvement is the campus Voter Registration headquarters for UAB.

Students can access information on Student Involvement’s programs by going to the program websites, through handouts, or by emailing or visiting the office.

Student Involvement regularly conducts surveys and program assessments to ensure user satisfaction with programs and services. Example instruments include Civic Engagement Fair Student Feedback Form, Greek Education Session Evaluation 2014, and Leadership Foundations – Respond Evaluation Spring 2013. Adjustments and changes are implemented as a direct result of these instruments and the Student Involvement Annual Report. As an example, duties of the Coordinator of Leadership Programming was split and a Coordinator of Civic Engagement was added to the staff to allow the office to coordinate more service and volunteering opportunities and expand existing leadership programs.

**Student Media**

All student media activities coordinated by the **Office of Student Media** (internet access required) are intended to support the University’s mission and values. Each student medium is a living testament for freedom of expression, especially unfettered student speech, embodied in the First Amendment, the foundational document for the academic freedom valued by the University. Student media units are modeled after equivalents at the professional and/or commercial level. Student leaders are expected to uphold professional standards in their ethical conduct, to accept responsibility for that which is printed or broadcast, and to nurture a civil and collaborative culture that reflects a commitment to excellence in each aspect of this enterprise. The **2013-2014 Student Media Annual Report** includes statistics on website page views, print and online production, and advertising revenues.
• **Student Newspaper:** *Kaleidoscope* (internet access required), a printed news weekly, features news and public forum content created or selected collaboratively by students, and is managed by editors/staff who are selected by various means from the general student population. The newspaper’s target audience is a diverse campus and community population.

• **Radio:** *Blaze Radio* (internet access required), an Internet radio station, features two streams (Blaze Radio and Mostly Classical) of entertainment and informational content selected collaboratively by students, and is operated by managers/staff selected by various means from the general student population. While the station’s target audience is the general student population, the breadth of programs and shows produced by students for the Blaze Radio stream reflects the diversity of tastes and interests of its audience.

• **Literary and Arts Magazine:** *Aura Literary Arts Review* (internet access required), a periodic arts magazine, features content selected collaboratively by students or through juried art evaluations, and is managed by editors/staff selected by various means from the general student population. The magazine's target audience is the campus arts community, including literary and visual arts. The magazine staff also serves the city's arts community at large by assisting with an annual summer writing workshop for high school students sponsored by the English Department.

• **Student Media Online:** *Interactive Student Media* (internet access required), a consortium of online resources, expands each medium's accessibility via maintained websites devoted to the *Kaleidoscope* (internet access required), *Blaze Radio* (internet access required), *Aura Magazine* (internet access required), and *Graduate Student Association* (internet access required). These sites are managed by editors/staff selected by various means from the general student population.

• **Administrative Unit:** The Office of Student Media serves its student constituents through training and education, technical assistance, program development, financial oversight, assessment, and related support functions. The Office provides administrative support for the Board of Student Media, a 15-person committee with representatives from all sectors of the University that meets four times annually to provide oversight and a platform for the orderly governance of student media operations. The Office also provides support to Department of Student Life through marketing support, committee service, technical consultation, and other functions.

Student Media provides full access to both its work product and its program participation opportunities. Technological innovation permits easy access and participation. Students on- and off-campus all have access via computer, tablet, or mobile device at any time to the entire information product aggregated by Student Media. Access to physical copies of printed publications is generally limited to those who have direct physical access to the main campus where these editions are distributed.

Access to leadership opportunities are mixed. Chief executive level positions, and those that require regular physical access to labs in Student Media's primary campus facility, likely would be most attractive to those who live adjacent to the main campus. However, subordinate leaders and staffers at large may access Student Media's operations via the internet regardless of their physical location.

Student Media uses observations, directed research, study groups, and focus groups to improve products and services to its audience.

As an example of using assessment results, in fall 2013, student leaders expressed an interest in converting the *Kaleidoscope* from a broadsheet newspaper format to magazine style compact edition. It was noted that this format change proposal represented a major operational change, and it required a deliberate plan of action to determine if the concept would be successful and how implementation would impact current operations. After careful assessment and planning, the new format was introduced in January 2014.

**Student Multicultural and Diversity Programs**

**Student Multicultural and Diversity Programs** (internet access required) provides the following programs and services:

• **Blazer Male Excellence Network (BMEN):** The BMEN Peer Mentoring Program is designed to provide academic and social support to black male students entering UAB. BMEN's overall goal is to improve the quality of life for the new student by partnering a returning student with a new student, and by staff providing information on navigating the collegiate experience inside and outside the classroom. The mentors are selected each spring and go through extensive training to offer the best services possible. Nationally, black males graduate at much lower rates than most other groups of students. BMEN supports UAB's mission by highlighting accomplishments and analysis.

• **Multicultural Council:** The UAB Multicultural Council is a programming, leadership, and advocacy board comprised of a diverse group of students who promote multicultural awareness and inclusive excellence. Students involved with the Multicultural Council are educated on various social justice issues and are taught how to create an inclusive environment for all of UAB’s students. The Executive Committee members are developed as student leaders and are being prepared to impact an ever-changing world. The 2013-2014 Student Multicultural and Diversity Programs Annual Report highlights accomplishments and analysis.

• **International Mentors:** UAB International Mentors is a program that provides incoming international students with valuable information about UAB, Birmingham, and the United States. International Mentors serve the UAB international community by offering programming, support, and assistance to better meet the needs of incoming new students. The mentors are chosen through a highly selective process each spring and go through extensive training to offer the best services possible. The 2013-2014 Student Multicultural and Diversity Programs Annual Report highlights accomplishments and analysis.

• **Free Food For Thought:** Free Food For Thought is a dialogue series that encourages building a community that values diversity. Interested participants exchange viewpoints on selected topics, resulting in a greater awareness of issues and experiences across social and personal identities. Learning from one another through facilitated respectful discussion helps students value the contributions of their peers. In exchange for opinions, free food is provided. Students participating in this program are able to apply the knowledge learned within the classroom, to real life situations, allowing students to think critically about their intellectual experience. The 2013-2014 Student Multicultural and Diversity Programs Annual Report highlights accomplishments and analysis.
• **Student Safe Zone Peer Educators:** The SafeZone program has selected student leaders to facilitate these sessions. Peer Educators of the SafeZone Program are committed to providing an environment in which every student and university employee is free to thrive on an academic, professional and personal level within a community that is based on respect and dignity. Individuals who have completed the SafeZone Training are understanding and supportive of LGBTQ identified individuals and agree to provide a safe and inclusive space for all students. The 2013-2014 Student Multicultural and Diversity Programs Annual Report highlights accomplishments and analysis.

• **Community Week:** This activity celebrates UAB's diversity and provides opportunities to learn about and appreciate each other through various programs such as lectures, discussions, films, volunteer projects, and cultural events (see 2013 programming). Each year, student groups as well as academic and administrative departments come together to create a week that promotes understanding while encouraging unity, dialogue, and learning. The 2013-2014 Student Multicultural and Diversity Programs Annual Report highlights accomplishments and analysis.

Students who are off campus use the office's website as an important resource. Students can sign up to participate in many of the programs without coming to campus. Free Food For Thought requires that students sign up online in order to manage food costs. Additionally, many of the programs are partnered with off-campus entities that allow UAB to use their facilities. Examples include events with the Birmingham Museum of Art, the Birmingham Jazz Hall of Fame, and the Birmingham Civil Rights Institute.

After each event, evaluations are distributed and students are asked to provide feedback on their experience. Examples of survey instruments include Free Food for Thought Evaluation, International Mentors of the Year Assessment (2013-2014), Multicultural Council Executive Board Evaluation, and Safezone 101 Post-Training Evaluation. Questions focus on their learning, accessibility of the program, and what changes need to be made to improve the event. Based on feedback at these events, changes are often made to improve the student experience. Some examples of changes that have been due to feedback include providing transportation to off-campus events, providing more vegetarian options for attendees, and moving contact logs for the mentoring programs to online forms.

**Transfer Center**

The Transfer Center (internet access required) primarily serves prospective and current transfer students but may also assist academic advisors, and international student services. The second year of successful implementation of the Joint Admission Program with Jefferson State Community College, Lawson State Community College, Gadsden State Community College, and Wallace State-Hanceville Community College is in progress. The efforts of the Transfer Center support the mission of UAB by promoting the continued education of residents of Alabama and beyond. The Transfer Center serves students in the following ways:

**Transfer Student Recruitment**

- Create and manage the email and mailing communication plan for prospective transfer students, including management of the Transfer Center website which provides a centralized web resource for transfer related information
- Host the Transfer UAB event each spring, which is a free event that brings prospective transfer students to campus for a tour, meetings with academic departments and opportunities to receive general information about transferring to UAB
- Manage the Joint Admission program, which is a partnership with four area community colleges that promotes associate's degree completion and a seamless transfer process to UAB
- Host a Joint Admission Welcome session each summer to orient students to UAB and share details about the Joint Admission program
- Attend transfer fairs at community colleges throughout the state and make private visits to community colleges primarily in north central Alabama

**Transfer Credit Evaluation and Articulation**

- Evaluate 100- and 200-level transfer coursework and distribute 300- and 400-level coursework to the appropriate department for evaluation
- Create and maintain transfer course articulations within Banner, the University's student information system
- Primary contact for academic advisors regarding evaluation of transfer coursework and review of courses that a student plans to take as a transient student at another institution
- Evaluate and articulate courses taken as a part of the Study Away program
- Evaluate and articulate international coursework
- Serve as the UAB liaison for the Alabama Articulation and General Studies Committee

**Transfer Student Service and Retention**

- Review and update transfer credit policies
- Lead efforts to streamline and improve evaluation and articulation practices
- Advocate for continued transfer student scholarships
- Serve as the physical touch point on campus for transfer students
- Reestablish the transfer student organization and establish a chapter of Tau Sigma honorary

Students can access information about transferring to UAB, the course evaluation process, and the transfer equivalency database on the Transfer Center website. Contact information for Transfer Center staff is also available online, so they regularly serve students via phone and email.

Future assessment plans include a post-event survey for Transfer UAB Day 2015 and the Joint Admission Welcome 2014 to learn more about the effectiveness of the events and how they can be improved for the next year. Additionally, an evaluation of the Joint Admission program to the community college partners is planned to ensure that their expectations are being met and to solicit suggestions for the future.
Veterans Services

The Office of Veteran Recruitment and Student Services (internet access required) provides services to all UAB student veterans who have been on Active Duty, Reservists, National Guard members, and dependents of veterans who have service related injuries, service connected deaths and who have transferred their VA benefits to their dependents. There are two Veterans Affairs (VA) School Certifying Officials (SCOs) on the campus of UAB. SCOs submit enrollment verification to the VA Regional Office so that VA educational payments can be issued to students. The SCOs work closely with the VA Regional Office to ensure that each veteran and dependents of veterans receive these payments.

Once a veteran has completed course work and is eligible for graduation, the Office presents a veteran commemorative cord to be worn during the commencement exercises. During the fall and spring semesters, a luncheon/information session is provided for the students served. The Office coordinates a wreath-laying ceremony for Veterans Day each year, inviting the campus and community to participate in recognition of veterans.

UAB veterans and dependents of veterans communicate with the staff via website, email, fax, and telephone to obtain all information needed to use their VA benefits. Staff work together with the student’s academic advisor, student accounting, and other departments to get the student certified for the VA Regional Office. The veteran commemorative cord will be mailed if the student lives out of state and is not attending commencement. The Office maintains a Veteran Services Facebook page to post changes in VA benefits, Office information of interest to students, and updates from the VA Regional Office.

Veterans and dependents of veterans who express the need for special services or accommodations are referred to UAB Disability Support Services. In addition, the Office of Veteran Recruitment and Student Services coordinates a VET Center van from the local VA Hospital to visit the campus once a month for 4 hours, from 10:00 am to 2:00 pm.

Sources (In Order of Appearance)

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[PDF] Career & Professional Development Services - Career Fairs
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[URL] CareerSpots
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[PDF] 2013-2014 Career Fair Student Survey
[PDF] Appointment with Career & Professional Development Survey
[PDF] DragonTrail Resume Review Survey
[URL] Student Center
[URL] International Recruitment and Student Services
[PDF] IRSS Student Survey Results 2010
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[PDF] 2011-2014 Campus Tour Center Evaluation Data Summary
[PDF] 2011-2014 Campus Tour Center Evaluation Comments
[PDF] Orientation Evaluation Summary 2011
[PDF] Orientation Evaluation Summary 2012
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[URL] One Stop Student Services
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[PDF] OneStop Statistics 2013-2014
[URL] UAB Campus Recreation
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[PDF] Campus Recreation Center - Fitness Classes
[PDF] Campus Recreation Center - Studio V
[PDF] Campus Recreation Center - Outdoor Trips
[PDF] Campus Recreation Center - Teambuilding
[PDF] Campus Recreation Advisory Committee Membership
[PDF] Campus Recreation Advisory Committee Minutes (20-Novr-13)
[PDF] Campus Recreation Advisory Committee Minutes (11-Apr-14)
[PDF] Campus Recreation Membership Survey Spring 2013
[PDF] Campus Recreation Membership Survey Spring 2014
[URL] Army ROTC
[PDF] Command Climate Survey
2.11.1

Financial Resources

The institution has a sound financial base and demonstrated financial stability to support the mission of the institution and the scope of its programs and services.

The member institution provides the following financial statements: (1) an institutional audit (or Standard Review Report issued in accordance with Statements on Standards for Accounting and Review Services issued by the AICPA for those institutions audited as part of a systemwide or statewide audit) and written institutional management letter for the most recent fiscal year prepared by an independent certified public accountant and/or an appropriate governmental auditing agency employing the appropriate audit (or Standard Review Report) guide; (2) a statement of financial position of unrestricted net assets, exclusive of plant assets and plant-related debt, which represents the change in unrestricted net assets attributable to operations for the most recent year; and (3) an annual budget that is preceded by sound planning, is subject to sound fiscal procedures, and is approved by the governing board.

Audit requirements for applicant institutions may be found in the Commission policy entitled "Accreditation Procedures for Applicant Institutions.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

UAB's financial ratios and bond ratings indicate that the institution has a sound financial base and fiscal stability.

The 2013 Financial Report provides general information on the institution's financial health including the University, the University of Alabama Hospital, and other blended component units. In general, the Financial Report indicates a stable financial future for UAB.

Financial Ratios

Assets and liabilities are important indicators of financial health, but financial ratios provide more specific information on the relationships between an institution's 1) total resources and liquid assets and 2) direct debt and debt service costs. UAB's financial ratios for the past three years demonstrate a stable financial base for university operations.

The ratio of Expendable Financial Resources to Direct Debt shows historical stability. Any ratio that exceeds 1:1 indicates that the institution has sufficient liquid assets to satisfy related liabilities. As the following chart indicates, a three-year history of this ratio shows consistent numbers in excess of 1:1.

Another measure of financial stability is the ratio of Actual Debt Service to Operations which is expressed as a percentage. Financially stable institutions show consistently low percentages of debt service costs in relation to its unrestricted operations funds which means that these institutions have sufficient resources available to cover the cost of its debt.

Actual Debt Service to Operations*
There is no debt for blended component units.

The Debt Service to Operations chart shows that the percentage of debt service costs that must be paid from UAB’s unrestricted operations funds is consistently low.

**Bond Ratings**

While financial ratios indicate past and present financial stability in relation to specific data, bond ratings provide a more holistic evaluation of an institution’s financial stability. These ratings are often used to evaluate long-term stability. Based partly on financial ratios, bond ratings also consider other, more subjective factors in the evaluation process such as an institution’s market position, total resources, diversified revenue, reliable management, debt service coverage, and, in the case of universities, student demand.

In the past three years, UAB has commissioned two bond ratings, one from Moody’s Investors Service and one from Standard and Poor’s Ratings Services. Bond ratings are expressed as letter "grades." Although both Moody’s and Standard and Poor’s use a similar rating scale, there are enough differences to warrant a comparison, as shown below.

**Comparison of Bond Rating Scales**

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<thead>
<tr>
<th>Bond Rating</th>
<th>Standard and Poor’s</th>
<th>Moody’s</th>
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<tbody>
<tr>
<td><strong>High Grade</strong></td>
<td>AAA</td>
<td>Aaa</td>
</tr>
<tr>
<td></td>
<td>AA</td>
<td>Aa</td>
</tr>
<tr>
<td></td>
<td>A</td>
<td>A</td>
</tr>
<tr>
<td><strong>Medium Grade</strong></td>
<td>BBB</td>
<td>Baa</td>
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<tr>
<td></td>
<td>BB</td>
<td>Ba</td>
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<tr>
<td></td>
<td>B</td>
<td>B</td>
</tr>
<tr>
<td><strong>Low Grade</strong></td>
<td>CCC</td>
<td>Caa</td>
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<td></td>
<td>CC</td>
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Financial Statements

UAB, as a public institution, prepares its financial statement in accordance with accounting principles generally accepted in the United States, as prescribed by the Governmental Accounting Standards Board (GASB).

Effective for the fiscal year ending September 30, 2013, UAB adopted the provisions of GASB Statement Nos. 61, 63, and 65.

GASB Statement No. 61, The Financial Reporting Entity: Omnibus, modifies the existing requirements for the assessment of component units that should be included in the Financial Statements of UAB. As a result, Southern Research Institute (SRI), previously a blended component unit, is reported as a discretely component unit.

GASB Statement No. 63, Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position, modifies the presentation of deferred inflows and deferred outflows and net positions (previously reported as net assets). The classifications of Net Position remain unchanged and are classified into the following three categories:

1. Invested in Capital Assets, Net of Related Debt - Capital assets, net of accumulated depreciation and outstanding principal balances of debt attributable to the acquisition, construction, or improvement of those assets.
2a. Restricted Nonexpendable - Net assets subject to externally imposed stipulations that they be maintained permanently by UAB. Such assets include UAB's permanent endowment funds.
2b. Restricted Expendable - Net assets whose use by UAB is subject to externally imposed stipulations that can be fulfilled by actions of UAB pursuant to those stipulations or that expire by the passage of time.
3. Unrestricted - Net assets that are not subject to externally imposed stipulations. They may be designated for specific purposes by action of management or may otherwise be limited by contractual agreement with outside parties.

The cumulative effect of the accounting changes described above is recorded in the 2013 Financial Report.

Changes in Net Position

UAB's net position as of September 30, 2012 and 2013 are summarized in the UAB Financial Report. Several factors contributed to the decrease in net position between 2012 and 2013. The phasing out of ARRA funding led to decreased grant revenue for that period. Changes in healthcare coverages and other healthcare-related reforms led to a decrease in hospital revenue during 2013. In addition, investment income for the period was lower than the previous year.

Specifically, unrestricted net position has continued to rise from 2011 to 2013.

Unrestricted Net Position
Substantially all unrestricted net assets are designated for academic and research programs and initiatives and capital programs.

Since the underlying comparison that is being done is comparing the change in unrestricted net assets between FY 2011 and FY 2013 as 2013 is the first year of GASB 61 implementation, the self-evaluation finance committee did not think doing a statement for prior years was beneficial.

**Annual Budget Process**

The Bylaws of the Board of Trustees establish the review and approval of annual budgets as a primary function of the board. To accomplish this review and approval in an orderly manner, the Board has established Board Rule 410 outlining what is required to be presented to the Board for review relative to the operating budgets of the three campuses of the University of Alabama System. This rule designates the responsibilities of the Chancellor relative to the preparation of budgets and establishes an Annual Operating Budget Cycle indicating the steps that should be included in the annual budget process.

Beginning in the early spring, the UAB President works with the Chancellor and the presidents of the other two campuses to assess projected funds available and establish the University of Alabama System’s funding priorities. This includes reviewing anticipated state appropriation funding and potential tuition and fee rate increases.

At the same time, the President, Vice President for Financial Affairs and Administration (VPFAA), and Provost review the program and funding requests that they have received and identified based on institutional and System priorities including those identified as being needed to meet the goals of the institution’s strategic plan. They establish an initial set of requests/needs that they anticipate funding if possible. This list is discussed with the President’s Cabinet, which is comprised of the President, Provost, all Vice Presidents, and the CEO of the UAB Health System. Additionally, the Provost discusses the list with the Deans to identify any issues with the anticipated funding.

During the same period, UAB Budget Administration gathers information on other funding needs such as anticipated increases in insurance and utility rates, projected Composite Fringe Benefit costs, as well as anticipated changes in revenue. Budget Administration prepares preliminary funding allocations and projected budget changes based on this information in conjunction with the anticipated funding requests from the President, VPFAA, and Provost.

The President, VPFAA, and Provost discuss this information with the Chancellor, Executive Vice Chancellor for Finance and Operations, and the Presidents, Chief Financial Officers, and Provosts of the other two system campuses in May. After these discussions, each campus proceeds to develop their funding priorities and allocations for presentation to the Chair and Vice-Chair of the Finance Committee of the Board. Feedback from this presentation is then incorporated into the budget planning.

In early June, UAB begins the preparation of detailed budgets based on the institution’s strategic plan and priorities. At the same time, the priorities and allocations are presented to the UAB Faculty Senate and other groups including the School of Medicine Department Chairs. The detailed budget is completed by mid-July and summarized for submission to the Executive Vice Chancellor for Finance and Operations in early August. The Executive Vice Chancellor consolidates the information for the three campuses into the format to be presented to the Finance Committee of the Board and the Board as a whole at its September meeting.

At the September meeting of the Finance Committee of the Board, each campus presents its proposed budget. The Finance Committee presents its recommendation on the budget to the full Board for review and approval. Once the Board has approved the budget, UAB Budget Administration prepares and distributes the **Operating Budget** book to the campus. This book shows the operating budget for each school/college and major unit.

**Sources** (In Order of Appearance)

- [PDF] 2013 A-133 (Page 55)
- [PDF] Moody’s Bond Rating Letter
- [PDF] S&P Bond Rating Letter
2.11.2

Physical Resources

The institution has adequate physical resources to support the mission of the institution and the scope of its programs and services.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Campus planning decisions are made based on alignment with institutional goals, benchmark analyses of peer institutions' facilities, and feedback from the constituencies of the University of Alabama at Birmingham (UAB). UAB has adequate physical resources essential to support the mission of the institution. UAB’s main campus has over 15.4 million gross square feet located on 93 city blocks located in the south side of the City of Birmingham downtown core and is shown on the Campus Map. The UAB Building Summary (Fall 2013) is given in Facts & Figures 2013-2014.

Campus Master Plan

UAB, as part of the University of Alabama (UA) System, is subject to Rule 415 of the Board of Trustees of the University of Alabama (the Board) which specifically provides for: (a) campus master planning, (b) systematic planning for capital projects, purchase of equipment, and real property acquisition/disposition, (c) the establishment of an orderly process for the accomplishment of major capital projects, (d) the selection and appointment of architects and engineers, and (e) the delegation of responsibility for the management of existing capital assets.

Since 1982, UAB has submitted an original master plan and five updates to the original. The University prepares an update to the Campus Master Plan as required. The 2000 Master Plan Update and 2012 Amendment include a review of current and future educational programs needs and addresses growing programs that will require additional physical facilities through expansion, renovation, or facility addition. The plan also reviews the support services required for the programs and addresses each of the services. In addition, the master plan addresses the mission-related activities, both short and long-term, of continued growth and development. Starting with the 2000 Master Plan Update, UAB included Potential Future Development, a long-range planning outlook to accommodate campus growth and development beyond the five-year planning period.

Pursuant to Board Rule 415, each campus of the UA System is required to have an active Campus Planning Committee (CPC) to guide the physical growth and development of the campus. The role of the UAB CPC is to be involved in the master planning process in order to ensure the implementation of the campus master plan concept, goals, and objectives. The 1982 UAB Master Plan and subsequent updates serve as the Committee’s framework from which reviews and recommendations are made. The CPC is expected to assume a proactive role performing the following functions:

1. Review amendments (updates) to the Master Plan;
2. Review annually the Facilities Development Plan, the Annual Capital Development Plan and State Capital Appropriations Request;
3. Conduct regularly scheduled reviews of campus planning, design, acquisitions, and construction activities including new campus landscape and open space projects, road or alley closings and openings, implementation of design guidelines, requests for land acquisitions/dispositions, design and construction of proposed new buildings and major renovations;
4. Discuss current and upcoming campus improvement projects;
5. Establish a schedule and priorities for completing improvements in the Master Plan;
6. Establish and adopt procedures for incorporating recommendations from the Master Plan into UAB's financial planning and budgeting process;
7. Review projects with significant visual impact, including buildings, site improvements, and from time to time, campus outdoor sculpture initiatives.

Finally, the CPC establishes and adopts procedures for conducting its activities as well as orienting staff and design professionals. It is critical that the CPC be allowed to take a strong role in the master planning system in order to reach the goals set forth by the Board and the UAB Master Plan. The Campus Planning Committee is chaired by the Vice President of Financial Affairs and Administration and supported by the Office of Campus Planning. It is made up of a cross-section of individuals representing major operational branches of the University including the President, Provost and Vice Presidents, major division department heads, operation-level facility professionals, faculty representatives, and Legal Counsel. Ex-officio members and regular guests include Deans, student representatives, Emeritus Presidents of UAB, a representative from the Office of the Chancellor, as well as representatives of other local healthcare facilities including the Veterans Affairs Medical Center and Children’s of Alabama.

In addition to the Master Plan, UAB also prepares and submits an Annual Consolidated Capital Projects and Facilities Report, which includes the Five-year Facilities Development Plan and an Annual Capital Development Plan as required by Board Rule 415. The Facilities Development Plan projects space requirements to support campus academic and administrative programs for a minimum five-year time period. The Annual Capital Development Plan, prepared for and submitted to the Board, lists all capital projects which are anticipated to be submitted to the Board for action or information during the coming fiscal year. This plan outlines the projects and how they relate to and enhance the University's programs. Both plans project new facilities construction, major facilities renovations, and land acquisitions necessary to ensure the University has adequate space and facilities to meet the needs of increasing enrollments, program expansions, and new program offerings.

Supporting data for the master plan includes items such as enrollment and enrollment projections, current building inventory, and space utilization to ensure that current space is being used correctly and to identify present and future space needs.
Off-Campus Space

UAB owns or leases two off-campus locations where students in the School of Medicine (SOM) may receive training as a part of their degree requirements. These off-campus locations are in Huntsville, Alabama and Montgomery, Alabama. The Huntsville campus was opened in 2003 and includes a building complex with 93,338 gross square feet of teaching space as well as clinic space for third and fourth year medical students to receive on-the-job training in the care of patients.

To support the SOM’s strategic goals, UAB submitted in 2011 a New or Expanded Branch Campus Notification Form for the establishment of the Montgomery campus to the Liaison Committee on Medical Education (LCME), the accrediting agency for medical education programs leading to the M.D. degree. The LCME includes facilities and resources in its “Functions and Structure of a Medical School” accreditation standards. The Notification Form described plans for the new branch campus, the curriculum, resources, student services, and financial support to accommodate the campus. The LCME in its Response Letter determined that resources appeared adequate to support the Montgomery branch campus. Subsequently, approval of the establishment of the off-campus instructional site by the Alabama Commission on Higher Education (ACHE) was given in 2013. Ten third-year medical students began taking classes at the Montgomery Campus in May 2014.

The clinical campus in Montgomery is located on the campuses of UAB-affiliated Baptist Medical Center South (BMC-S) and East (BMC-E). This location gives students the opportunity to train in a tertiary referral center and a community hospital with a significant emphasis in obstetrics, as well as a community medicine experience and training in a medical center which serves numerous rural counties and underserved populations.

The UA System provides the Intercampus Interactive Telepresence System (IITS) which is a statewide compressed telepresence network used for video conferencing among the campuses. IITS staff members coordinate scheduled video conferences with the assistance of IT staff at each remote location. They are available before and during video conferences to assist with any technical issues that arise. All campuses have access to enterprise level applications maintained by UAB’s central IT department. These applications include Blackboard Learn, the learning management system (LMS); Microsoft SharePoint online collaboration tool; and Joomla, the content management system. Canvas is replacing Blackboard Learn as the UAB LMS, with some courses transitioning in Summer 2014 and the remainder in Fall 2014.

Construction and Renovation

Through careful planning, the University is continually upgrading current structures and infrastructure to meet the ever-increasing demands of a growing student population and program expansions. As technology changes, the University updates and upgrades infrastructure and equipment to better serve the learning environment. This continued focus on improvements is demonstrated in the Architecture & Engineering and Interior Design Priority List and the Major Projects List.

To ensure consistency in the quality of the material and equipment that is specified and installed, the exterior appearance of the UAB campus, and sustainability efforts, UAB has developed design standards which consulting architects and engineers are required to follow. These design standards are found in the 2000 Master Plan Update and on the Facilities Division website. In addition to the UAB design standards, the consulting architects and engineers are required to comply with the latest building codes, standards, and guidelines, including the Americans with Disabilities Act Accessibility Guidelines, as stipulated in Article 16.17 of the Owner Architect Agreement.

Student Learning and Student Service Facilities

The improvement and modernization of student learning and student service facilities has been an institutional priority as enrollment has increased. Some of the most critical renovations, expansions, and new construction during the past five years are described below.

- **Renovation of the main floor of Mervyn H. Sterne Library** in 2010 added new group study rooms, soft seating areas, group study areas, additional student use computers, and two new classrooms. The renovation also saw the addition of the University Writing Center to the library as well as a Starbucks coffee shop.

- **Improvement projects in the Campus Recreation Center**, guided by the facility’s Capital Improvement Plan and Risk Management Audit, included carpet replacement and painting throughout, repairs to walls and flooring, and the creation of a wet classroom near the pool area.

- The addition of new dining facilities, based on recommendations from the Dining Services Planning report, has resulted in eleven restaurants as shown on the Campus Dining map. The analysis included input from focus groups and student surveys to develop a strategy for the campus dining program to better meet emerging campus needs.

- **Construction of a 680-bed freshman residence hall**, scheduled to be completed in Summer of 2015, resulted from the Comprehensive Housing Master Plan, which was conducted in 2012 with the goal to assess current and future student housing demand while developing a long-term strategy to accommodate anticipated enrollment growth by 2020. The Plan included feedback from focus groups and random intercept interviews with students, faculty, and staff and results to an electronic survey from over 1,500 students.

- **Construction of a 168,700 square foot Student Center** slated for completion in Summer 2015 required the demolition of the Hill University Center (HUC). The new Student Center, an embodiment of the University’s commitment to recruitment and retention goals, will provide additional and updated space for delivery of student services.

- **Renovations to multiple facilities across campus** were required in order to provide permanent new office locations for student service offices originally in the HUC, including Institutional Effectiveness & Analysis, Graduate School, Undergraduate Admissions, Enrollment Operations/Student Communications, Office of the Registrar, Supplemental Instruction, and College of Arts and Sciences Academic Advising.

- The Student Health and Wellness Center will occupy renovated space on the third floor of the Learning Resource Center, shifting
the important services it provides to a much more student friendly location.

Classroom Facilities
A recent Course and Room Scheduling Effectiveness analysis was conducted by the UAB Office of Institutional Effectiveness and Analysis. One of the objectives of this study was to evaluate the inventory of classrooms available for central scheduling. As demonstrated in the data, the net utilization rate for UAB classrooms is 23% of the total available instructional seats. The goal, according to national standards, is 60%. This demonstrates that UAB has sufficient classroom space to meet current and near-future demand.

Research Facilities
Sufficient space to conduct its research activities is also a priority for the University as demonstrated by recent projects in Wallace Tumor Institute (WTI) and Bevill Biomedical Research Building and the planned Research Crescent.

WTI was originally constructed to provide a comprehensive research facility at UAB. It was constructed in three phases between 1976 and 1991 and has recently undergone projects to completely renovate all six floors and portions of the basement with new interior partitions and finishes, laboratory casework, heating, ventilation and air conditioning systems, emergency power, and other support services to provide new state of the art facilities. In addition, UAB has added an advanced imaging facility that houses a cyclotron, two PET/CT scanners, a micro PET/CT and a full-body MRI system, making it one of the most advanced imaging facilities in the State.

These projects were implemented to greatly enhance the University’s research capacity in the fields of Radiology, Oncology, Hematology, Neurology, Neurobiology, Psychiatry and Cardiology. In addition, the renovated facility will help to insure that UAB will remain at the forefront of cancer discovery and treatment by assisting the Comprehensive Cancer Center to recruit additional investigators.

The recent project at Bevill provides investigators with an up-to-date research facility that meets current research facility standards. The project reconfigured the building’s mechanical systems, replaced HVAC control systems, added two new air handling units, included select architectural renovations, and updated the architectural finishes and furnishings throughout. Bevill is one of the largest and most visible research buildings on the UAB Campus. Its location in the heart of the research district makes it one of the most desirable locations for investigators at UAB. Modernizing it and bringing it up to current research standard will aid UAB in its efforts to retain top investigators and recruit new investigators at the top of their disciplines, helping to maintain UAB’s standing as one of the top research institutions in the Country.

Conclusion
UAB has adequate physical resources to support its mission and has invested strategically in renovation and expansions to improve facilities and meet projected needs.

Sources (In Order of Appearance)
2.12

Quality Enhancement Plan
The institution has developed an acceptable Quality Enhancement Plan (QEP) that includes an institutional process for identifying key issues emerging from institutional assessment and focuses on learning outcomes and/or the environment supporting student learning and accomplishing the mission. (Note: This requirement is not addressed by the institution in its Compliance Certification.)

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☑ Not Applicable

Narrative
3.1.1

Mission
The mission statement is current and comprehensive, accurately guides the institution’s operations, is periodically reviewed and updated, is approved by the governing board, and is communicated to the institution’s constituencies.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative
The UAB mission statement is current and comprehensive.

UAB is a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond.

UAB’s mission statement was derived from an extensive and comprehensive strategic planning process that began in November 2002 and was completed in 2003. The process involved the UAB administration, faculty, staff, and students as well as community leaders. The Academic Affairs, Student Affairs, and Planning Committee of the Board of Trustees of the University of Alabama (the Board), as stated in Board Rule 501.III.C.2, is to:

- Recommend to the Board the mission, role, and scope of the System and of its respective institutions, and undertake comprehensive strategic and long-range planning.

The Board approved the current mission statement on February 6, 2004, as shown in the meeting minutes.

UAB is currently engaging in a comprehensive strategic planning process, as shown on the UAB Strategic Plan website, which can be reviewed here with internet access. The identified goals are:

I. Provide education that prepares diverse students to lead, teach, provide professional services and become the prominent scholars and societal leaders of the future.
II. Pursue research that benefits society, spurs innovation and expands UAB’s capability to discover and share new knowledge.
III. Deliver the highest quality patient care that reflects our ability to translate discoveries into revolutionary therapies in one of the nation’s largest academic medical centers.
IV. Encourage partnerships that improve education, health and quality of life through service at home and around the globe.
V. Foster and stimulate innovation and entrepreneurship that contributes to the economic development and prosperity of Birmingham and beyond.

The mission statement is found on the UAB Strategic Plan website, which can be reviewed here with internet access, in addition to publications such as Facts & Figures 2013-2014, and the UAB Faculty Handbook and Policies.

Sources (In Order of Appearance)

[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 219)
[PDF] BoT Minutes Feb 2004 - Approval of UAB Mission
[PDF] UAB Strategic Planning - Vision and Mission
[URL] UAB Strategic Plan
[PDF] Facts & Figures 2013-2014 (Page 7)
[PDF] Faculty Handbook and Policies (Page 2)
3.2.1

Governance and Administration: CEO evaluation/selection

The governing board of the institution is responsible for the selection and the periodic evaluation of the chief executive officer.

Judgment

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative

Selection and Appointment

The Board of Trustees of the University of Alabama (the Board) is empowered by the state legislature in the Code of Alabama 1975, Section 16-47-34 to appoint such officers as the interest of the University may require, to remove such officers, and to fix their salaries. This includes the President of the University of Alabama at Birmingham (UAB).

The Chancellor, as chief executive officer of the University of Alabama System, recommends to the Board, after an appropriate search process, the appointment and compensation of the President. Further, with approval of the Board President pro tempore and prior notice to the Board, the Chancellor may terminate the President’s employment as stated in Article V, Section 2, Item 10 of the Bylaws of the Board of Trustees.

In August 2012, after President Carol Garrison stepped down, the Chancellor convened a 31-member advisory committee to lead the search for a new UAB President. The position was posted on the University of Alabama System website, listing attributes ideal for the job, including strategic planning, fundraising success, and dealing with governmental and legislative representatives. These attributes are consistent with the UAB Human Resources job description for the President. On February 8, 2013, the Board approved the recommendation of the Chancellor and search advisory committee and voted unanimously to appoint Dr. Ray L. Watts as the 7th President of UAB.

Evaluation

The UAB President undergoes two types of performance evaluations: a yearly evaluation and a five-year evaluation. Notification of Dr. Watts’ 2013 evaluation and criteria for each type of evaluation are provided for reference. These criteria were approved by the System’s Coordinating Committee, which consists of the Chancellor and presidents of the three institutions in the University of Alabama System, on December 22, 2003.

The Chancellor typically conducts the yearly evaluation at the beginning of the calendar year. The Chancellor provides his or her observations on the work of the President in the following areas: agenda for the University, faculty/staff relations, research stimulation, fiscal management, interaction with the other University of Alabama System campuses and the System office, relationship with the Board, community relations, building leadership teams, and other areas as deemed appropriate. The Chancellor completes a written assessment and gives it to the President. The Chancellor and the President meet to discuss the written assessment, and the President is provided with an opportunity to respond. The Chancellor and the President acknowledge the completion of the evaluation, and the Chancellor reviews his or her observations with the appropriate committees of the Board.

The Chancellor conducts the five-year evaluation at the beginning of the President’s fifth year of service. The five-year evaluation is comprehensive and deals with every major aspect of the work of the President. The Chancellor provides his or her observations in the areas included in the yearly evaluation as well as vision for the University, research program expansion, fundraising, residential life, and intercollegiate athletics. The evaluation also includes review of the performance indicators for the campus and interviews with campus constituency groups. The Chancellor and the President meet to discuss the evaluation, and the President is expected to share his or her vision for the future development of the campus. The Chancellor and the President acknowledge the completion of the evaluation, and the Chancellor reviews his or her observations with the entire Board.

Sources (In Order of Appearance)

[PDF] Code of Alabama 1975 Title 16 Chapter 47 Section 16-47-34
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 21)
[PDF] UAB Presidential Search Advisory Committee (Sept 2012)
[PDF] UAB Presidential Search - Candidate Attributes (Sept 2012)
[PDF] UAB President Job Description
[PDF] BoT Minutes Feb 2013 - UAB Presidential Appointment (Page 3)
[PDF] Chancellor Memo on UAB President Evaluation (Feb 2014)
[PDF] Code of Alabama 1975 Title 16 Chapter 47 (Page 24)
3.2.2

Governance and Administration: Governing Board Control

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

3.2.2.1 institution's mission;
3.2.2.2 the fiscal stability of the institution;
3.2.2.3 institutional policy

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☑ Not Applicable

Narrative

The legal authority for the University of Alabama at Birmingham is clearly designated to the Board of Trustees of the University of Alabama by the Code of Alabama 1975 Sections 16-47-1 to 16-47-204. Specifically, the governing responsibility of the Board of Trustees is addressed in Section 16-47-1. This authority extends to all aspects of the institution, including the mission, fiscal stability, and institutional policies. As such, the Bylaws and Rules of the Board of Trustees define these authorities, as discussed in succeeding Requirements.

A Board of Trustees resolution established the University of Alabama at Birmingham as an autonomous institution within the University of Alabama System in 1969.

Sources (In Order of Appearance)

[PDF] Code of Alabama 1975 Title 16 Chapter 47
[PDF] Code of Alabama 1975 Title 16 Chapter 47 (Page 4)
[PDF] Resolution of Board UAB Autonomous Campus 1969
3.2.2.1

Governance and Administration: Governing Board Control: Mission

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

3.2.2.1 institution’s mission.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The legal authority for the University of Alabama at Birmingham is clearly designated to the Board of Trustees of the University of Alabama (the Board) by the [PDF] Code of Alabama 1975 Title 16 Chapter 47 [Page 4] & Code of Alabama 1975 Title 16 Chapter 47 (Page 4) [PDF] Code of Alabama 1975 Sections 16-47-1 to 16-47-204. Specifically, the governing responsibility of the Board is addressed in [PDF] Section 16-47-1 [Page 4]. This authority extends to all aspects of the institution, including the mission.

Defining the mission is enumerated as a primary function of the Board in Article I, Section 6 of the Bylaws of the Board of Trustees:

In the exercise of its management and control of the University, the Board recognizes that it must determine major policy, review existing policy, define the missions, role and scope of the University and each of its major divisions or component institutions (hereinafter sometimes referred to as "campus"), and provide ultimate accountability to the public and the political bodies of Alabama. Any authority delegated by the Board shall be subject always to the ultimate authority of the Board. [emphasis added]

Specific responsibility for the institution’s mission is assigned by Article IV, Section 2 of the Bylaws of the Board of Trustees to the Academic Affairs, Student Affairs, and Planning Committee:

The areas of responsibility of this committee shall include reviewing and recommending approval of: long-range plans; new academic programs; evaluation of and modification to existing academic programs; organizational structure; requests for legislative appropriations; mission statements and statements of role and scope; programmatic planning for new facilities; annual budgets as they apply to the above items; and other matters that may be referred to it by the Chancellor or the Board. [emphasis added]

The purpose of the committee is further outlined in Board Rule 501, Section III to include assisting the Chancellor in recommending to the Board the mission of the institution. Major responsibilities of the committee enumerated in Board Rule 501, Section IV include reviewing and recommending changes in institutional mission.

Article V, Section 2 of the Bylaws of the Board of Trustees lists among the responsibilities of the Chancellor that he or she, within the general authority granted by the Board, recommend to the Board the mission, role and scope of the University and of its respective campuses.

Article V, Section 3 of the Bylaws of the Board of Trustees assigns the President of the institution the "full authority to administer campus affairs and to formulate and issue regulations and orders not inconsistent with the Bylaws, rules, policies and procedures of the Board and the Chancellor. The President shall be responsible for the participation of his [her] campus in the overall planning, resource allocation, and program evaluation of the University.” It is implicit in these statements, and in the full list of the president’s responsibilities, that the President has the duty and authority to develop the institution’s mission, align the institution’s resources to accomplish that mission, and delegate responsibility and authority for implementation to the appropriate administrators, faculty, and staff.

The current vision and mission statements, last reviewed and approved by the Board in February 2004, can be found in the UAB Strategic Plan.

Sources (In Order of Appearance)

[PDF] Code of Alabama 1975 Title 16 Chapter 47
[PDF] Code of Alabama 1975 Title 16 Chapter 47 (Page 4)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 11)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 17)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 219)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 220)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 20)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 21)
[PDF] BoT Minutes Feb 2004 - Approval of UAB Mission
[PDF] UAB Strategic Planning - Vision and Mission
3.2.2.2

Governance and Administration: Governing Board Control: Fiscal Stability

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

3.2.2.2 fiscal stability of the institution.

Judgment

☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The legal authority for the University of Alabama at Birmingham is clearly designated to the Board of Trustees of the University of Alabama (the Board) by the Code of Alabama 1975 Sections 16-47-1 to 16-47-204. Specifically, the governing responsibility of the Board is addressed in Section 16-47-1. This authority extends to all aspects of the institution, including the fiscal stability.

Board of Trustees

Overall Responsibilities

Enumerated among the primary responsibilities of the Board in Article I, Section 6 of the Bylaws of the Board of Trustees are the following related to fiscal stability:

5. Approve admission policies and levy fees and charges;
6. Review and approve legislative requests for appropriations;
7. Review and approve annual budgets and budget changes;
8. Approve all gifts where restrictions are indicated, designate the use of unrestricted gifts, and approve and designate the use of testamentary gifts;
9. Approve all loans, borrowing, and issuance of bonds;
10. Approve or authorize the Executive Committee to approve appointments and salaries of principal officials;
11. Approve or designate who shall approve compensation policy for faculty and staff;
12. Approve Campus Master Plans, Facilities Development Programs, and Capital Development Programs;
16. Establish auditing policies and standards and appoint independent auditors;
18. Approve all depository agreements for the deposit of funds.

Specific responsibility for fiscal stability is assigned to the various committees of the Board. The Chancellor and President have defined roles in furnishing information and making requests to the Board in order to maintain fiscal stability, which are also discussed below.

Academic Affairs, Student Affairs, and Planning Committee

Article IV, Section 2 of the Bylaws of the Board of Trustees assigns partial responsibility for the institution’s fiscal stability to the Academic Affairs, Student Affairs, and Planning Committee in the following paragraph:

The areas of responsibility of this committee shall include reviewing and recommending approval of: long-range plans; new academic programs; evaluation of and modification to existing academic programs; organizational structure; requests for legislative appropriations; mission statements and statements of role and scope; programmatic planning for new facilities; annual budgets as they apply to the above items; and other matters that may be referred to it by the Chancellor or the Board.

Examples of Committee approval of new academic programs and organizational restructuring, both with financial impacts on the institution, are shown in the minutes of the June 2013 and April 2014 meetings.

Finance Committee

Article IV, Section 3 of the Bylaws of the Board of Trustees assigns major responsibility for reviewing the institution’s financial status to the Finance Committee:

The areas of responsibility for this committee shall include the review and recommendation for approval of: annual audited financial statements; annual budgets; financial reports; legislative appropriation requests; budget performance reports; long-range financial plans; student tuition, fees and financial aid programs; development and fund raising; financial exigency; depository approval; gift approval; review of campus indebtedness proposals; and other matters that may be referred to it by the Chancellor or the Board.

Excerpts from the minutes of the September 2013 Finance Committee meeting show approval of UAB's annual budget.

Investment Committee

Article IV, Section 5 of the Bylaws of the Board of Trustees also assigns partial responsibility for the institution’s fiscal stability to the Investment Committee:

This committee shall be responsible for recommending investment objectives, broad asset allocation changes, policies, and practices to the Board. The committee is responsible for overseeing investment activities and performance; for ensuring the proper control and safekeeping of the investment funds and assets (such as land) retained by the University for investment...
purposes, for making changes within the broad asset allocation guidelines; and for the selection of eternal money managers, custodians and such consultants as are necessary to properly manage these funds.

Excerpts from the minutes of the April 2013 Investment Committee meeting and June 2013 Investment Committee meeting show approval of investment activities.

Audit Committee
The Audit Committee is responsible for overview of internal and external audits, reviewing the scope of audits, making recommendations for the selection of external auditors, and reviewing the findings of the Examiner of Accounts and all other external auditors. A General Auditor, appointed by the Board, is guided by this committee. Minutes from the February 2014 Audit Committee meeting show approval of the Financial Statements for the System, including UAB. The minutes from the June 2013 meeting of the Audit Committee provide an example of the Committee’s recommendation of the external auditor for the fiscal year 2012–2013 audit.

Physical Properties Committee
The Physical Properties Committee has responsibility for evaluating annual capital development plans; acquisition and disposition of land, facilities, and equipment; and planning and construction of new facilities and renovation of existing facilities. Excerpts from minutes of the September 2013 meeting of the Physical Properties Committee provide an example of approval for expansion of existing facilities. The Committee also oversees ground and facility leasing, as demonstrated in the minutes of the April 2014 meeting.

Chancellor
Further, Article V, Section 2 of the Bylaws of the Board of Trustees lists among the responsibilities of the Chancellor that he or she:

4. Establish the guidelines and formats, coordinate the development and review, and submit to the Board recommended Campus Master Plans, Facilities Development Programs, and Capital Development Programs;
5. Participate in the implementation of capital projects requiring Board approval;
6. Direct and approve the preparation of a coordinated legislative request for both operating and capital appropriations, and direct the presentation of and justification for the request;
7. Review and recommend to the Board the budgets of each campus;
9. Establish financial, budgetary, audit and business procedures for the efficient and effective management of the University

President
Article V, Section 3 of the Bylaws of the Board of Trustees assigns the President of the institution the "full authority to administer campus affairs and to formulate and issue regulations and orders not inconsistent with the Bylaws, rules, policies and procedures of the Board and the Chancellor. The President shall be responsible for the participation of his [her] campus in the overall planning, resource allocation, and program evaluation of the University."

The President’s role in maintaining fiscal stability is more specifically addressed in Item 3:

Financial management of the campus and its component parts in conformity with University management policies and practices. This function shall include but is not limited to the preparation of budgets and legislative requests, assistance in legislative presentations, maintenance of financial records and accounts for activities of the campus, the receipt and expenditure of all campus funds, and preparation of required financial reports.

Sources (In Order of Appearance)

[PDF] Code of Alabama 1975 Title 16 Chapter 47
[PDF] Code of Alabama 1975 Title 16 Chapter 47 (Page 4)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 11)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 17)
[PDF] BoT Minutes June 2013 - Academic Affairs Committee
[PDF] BoT Minutes April 2014 - Academic Affairs Committee
[PDF] BoT Minutes Sept 2013 - Finance Committee
[PDF] BoT Minutes April 2013 - Investment Committee
[PDF] BoT Minutes June 2013 - Investment Committee
[PDF] BoT Minutes Feb 2014 - Audit Committee
[PDF] BoT Minutes June 2013 - Audit Committee
[PDF] BoT Minutes Sept 2013 - Physical Properties Committee
[PDF] BoT Minutes April 2014 - Physical Properties Committee
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 20)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 21)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 22)
3.2.2.3

Governance and Administration: Governing Board Control: Institutional Policy

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

3.2.2.3 institutional policy

**Judgment**

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

**Narrative**

The legal authority for the University of Alabama at Birmingham is clearly designated to the Board of Trustees of the University of Alabama (the Board) by the Code of Alabama 1975 Sections 16-47-1 to 16-47-204. Specifically, the governing responsibility of the Board is addressed in Section 16-47-1. This authority extends to all aspects of the institution, including institutional policy.

Article I, Section 6 of the Bylaws of the Board of Trustees introduces the primary functions of the Board:

In the exercise of its management and control of the University, the Board recognizes that it must determine major policy, review existing policy, define the missions, role and scope of the University and each of its major divisions or component institutions (hereinafter sometimes referred to as "campus"), and provide ultimate accountability to the public and the political bodies of Alabama. Any authority delegated by the Board shall be subject always to the ultimate authority of the Board. [emphasis added]

Enumerated responsibilities of the Board related to policy making include the following:

1. Establish policies and goals of the University and direct the Chancellor to implement and achieve those policies and goals;
5. Approve admission policies and levy fees and charges;
11. Approve or designate who shall approve compensation policy for faculty and staff;
15. Establish objectives, policies, and practices which provide for effective and prudent management, control, and preservation of the investment assets of the University;
16. Establish auditing policies and standards and appoint independent auditors.

Various standing committees of the Board, including Investment, Compensation, Athletics, and Information Technology, deal with policies in their respective areas (Article IV, Sections 1–14 of the Bylaws of the Board of Trustees).

Article V, Section 2 of the Bylaws of the Board of Trustees lists among the responsibilities of the Chancellor that he or she "is delegated full authority to formulate and issue regulations and orders not inconsistent with Board policy. The Chancellor shall be the principal link between the Board's responsibility for policy and each President's responsibility for operations." More specifically, among the Chancellor's responsibilities and duties, he or she shall:

1. Implement Board policies, continuously review the administration and effect of these policies and recommend to the Board, for consideration, modifications of policies and new policies at both campus and System levels.

Article V, Section 3 of the Bylaws of the Board of Trustees assigns the President of the institution the "full authority to administer campus affairs and to formulate and issue regulations and orders not inconsistent with the Bylaws, rules, policies and procedures of the Board and the Chancellor." Additionally, the President shall:

7. Participate in the development of objectives, policies, and practices which will provide for effective and prudent management, control, and preservation of the investment assets of the University. Implement assigned investment responsibilities and ensure compliance with restrictions established by external donors, as well as limitations placed by the Board on funds functioning as endowment.

Examples of the Board exercising its authority to review existing policy are given in its revision of the Patent Policy in February 2013 and the Non-Resident Tuition Policy in September 2013.

**Sources** (In Order of Appearance)

- [PDF] Code of Alabama 1975 Title 16 Chapter 47
- [PDF] Code of Alabama 1975 Title 16 Chapter 47 (Page 4)
- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 11)
- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 16)
- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 19)
- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 21)
- [PDF] BoT Minutes Feb 2013 - Finance Committee - Revisions to Patent Policy
- [PDF] BoT Minutes Sept 2013 - Finance Committee - Revisions to Non-Resident Tuition Policy
3.2.3

Governance and Administration: Board conflict of interest
The governing board has a policy addressing conflict of interest for its members.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The Board of Trustees of the University of Alabama (the Board) Rule 106 directly addresses ethics and conflicts of interest for Board members and senior administrators.

The central tenet of the policy is that, in their fiduciary roles, members of the Board are held to a higher standard in the conduct of official institutional business than is the norm in the everyday business world. Consequently, the Board’s ethical standard may extend beyond legal requirements such that even the appearance of member self-interest in Board decisions is eliminated.

Board Rule 106 requires Board members and senior administrators to disclose in writing any potential conflict of interest to the President pro tempore of the Board. A conflict of interest is defined as any substantial interest Board members or their family members hold in another entity, any service as director or executive officer Board members or their family members provide another entity, or any compensation Board members or their family members receive from another entity. The President pro tempore can refer the matter to the Executive Committee, which has final authority for determining whether a conflict of interest exists. The Executive Committee can consult the Public Review Committee in troublesome cases.

Board Rule 106 is included in the the Board Manual, which is found on the University of Alabama System website. Board members and senior administrators receive reminders about their duty to disclose relevant interests from the University of Alabama System Risk Management Office. The policy is implemented through an online process in which Board members and senior administrators submit electronic forms containing information related to financial interests on an annual basis or upon a significant change in circumstance. Forms are received, compiled into a database, and reviewed by the University of Alabama System Risk Management Office. Pertinent information is reported through the Board Secretary to the President pro tempore prior to a meeting at which Board action is to be taken. Where a conflict of interest exists, affected Board members exercise abstention from participation, deliberation, and voting in regard to the transaction. Examples of abstention are shown in minutes from June 2006, June 2010, and November 2010 meetings of the Board.

Additionally, Code of Alabama 1975 Section 13A-10-62 makes it a criminal offense for a public servant to fail to disclose a potential conflict of interest prior to exercising a substantial discretionary function when that individual also is an executive officer or owns a substantial portion of a non-governmental entity participating in a transaction with a governmental organization.

Board Rule 106 protects the integrity of the institution by requiring that decisions made by members of the Board are based solely on their understanding of what is in the best interest of the institution, uncluttered by any other considerations and unencumbered by conflicting obligations or interests.

Sources (In Order of Appearance)

[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 47)
[PDF] Board Conflict of Interest Procedures (Feb 2014)
[PDF] Sample Board Conflict of Interest Disclosure Form (Sept 2013)
[PDF] UA System Email Correspondence on Board COI Review List Search_Feb 2014 BOT Meeting
[PDF] Board Conflict of Interest Excerpts Phys Prop Committee Minutes of the June 2006 Board Meeting
[PDF] Board Conflict Excerpts from the Phy Prop Committee Report Minutes of the June 2010 Board Meeting
[PDF] Board Conflict of Interest Excerpts Finance Committee Report Minutes of the November 2010 Meeting
[PDF] Code of Alabama Section 13A-10-62
3.2.4

Governance and Administration: External influence
The governing board is free from undue influence from political, religious, or other external bodies, and protects the institution from such influence.

Judgment
- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative
The composition of the Board of Trustees of the University of Alabama (the Board), as well as specific rules promulgated by the Board, and transparency assures freedom of the Board and the institution from undue external influence.

Composition
In the exercise of its management and control of the institution, the Board recognizes that it is ultimately accountable to the public as stated in Article I, Section 6 of the Bylaws of the Board of Trustees. All members of the Board, with the exception of two ex officio members serving by virtue of their respective offices, are selected from each of the congressional districts across the State of Alabama by existing members of the Board and confirmed by the Alabama State Senate. Election processes and terms of office are established in Article I, Section 2 of the Bylaws of the Board of Trustees, and members cannot be removed from office except for cause and then only by 2/3 vote of all current Board members and after notice and an opportunity to be heard. Biographies of Board members are attached and can also be accessed through University of Alabama (UA) System website (internet access required).

The Constitution and statutes of the Code of Alabama 1975 Section 16-47-30 define the terms and conditions related to the selection, appointment, and term-of-service of members of the Board. These requirements are reflected in Article I, Section 2 of the Bylaws of the Board of Trustees. Under those provisions, a vacancy on the Board is filled through election by the remaining Trustees and confirmed by the Senate. Only if the Senate rejects a Board nominee does the Senate select the new Trustee. Following this procedure, Board members are duly protected from undue influence from political, religious, or other external bodies and are also able to protect the institution from such influence.

Policies
Board Rule 106 addresses conflicts of interest and sets forth expectations for ethical decision-making in instances where institutional matters may affect Board members’ outside involvement in business, industry, education, the professions, and government. Specifically, as members of the Board, these individuals “hold positions of public trust of high order, requiring unquestioned confidence in their professional integrity by all the institution’s constituencies. Responsible management of institutional affairs requires that their decisions are based solely on their understanding of what is in the best interest of the institution, uncluttered by any other considerations and unencumbered by conflicting obligations or interests.” Processes for disclosing and managing potential conflicts of interest are facilitated by the UA System Risk Management Office.

Additionally, Board Rule 304 establishes that the institution shall not endorse nor support any candidate for nomination or election to any public office or any other political entity. Because it may be difficult for the public to distinguish between public and private activities of university employees, especially senior administrators, and because the University is a public institution, employees must make clear that they are acting in a private and individual capacity in any political activity. Such transparency guards against actions that may create the appearance of impropriety, as well as those that are illegal and improper.

The Chancellor and other UA System administrators meet with newly elected Board members to provide a New Trustee Orientation as one means of communicating trustee roles and responsibilities. Furthermore, Board meeting scheduled upcoming meeting dates and locations are publicly available on the UA System website.

Transparency
The Board complies with the Alabama Open Meetings Act and the Open Records Act, which make its decisions and the documents it approves public. This transparency mitigates external influences and protects the Board from undue influences.

Sources (In Order of Appearance)

[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 11)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 10)
[PDF] UA Board of Trustees
[URL] Board of Trustees and Biography Links
[PDF] Code of Alabama 1975 Title 16 Chapter 47 Section 16-47-30
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 47)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 83)
3.2.5

Governance and Administration: Board dismissal

The governing board has a policy whereby members can be dismissed only for appropriate reasons and by a fair process.

**Judgment**

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

**Narrative**

The Constitution and statutes of the Code of Alabama 1975 Section 16-47-30 define the terms and conditions related to the selection, appointment, and term-of-service of members of the Board of Trustees of The University of Alabama (the Board). These requirements are reflected in Article I, Section 2 of the Bylaws of the Board of Trustees:

Ex officio Trustees shall serve only while holding their respective state offices. Elected Trustees shall hold office for a term of six (6) years, commencing on the date of their election except as modified below. When the term of any Trustee shall expire, or in case of a vacancy by death or resignation of a Trustee, or from any other cause, the remaining Trustees shall elect a successor by secret ballot; provided, that any Trustee so elected shall hold office from the date of his election until his confirmation or rejection by the Senate, and, if confirmed, until the expiration of the term for which elected and until his successor is elected, or, in the case of a vacancy, for the unexpired term for which he was elected and until his successor is elected. If the Senate should reject the name of any Trustee, it shall thereupon elect Trustees in the stead of those rejected. Neither the existence nor continuation of a vacancy in the office of a Trustee shall serve to impair or hinder any provisions of these Bylaws or the validity of the operations and actions of the Board by virtue of that vacancy alone. A Trustee shall not serve more than three consecutive full six (6) year terms on the Board. Other than as described above, no Trustee shall be removed from office except for cause, and then only by the affirmative vote of two-thirds (2/3) of the total number of Trustees (Elected and ex officio) then holding office, with notice and an opportunity to be heard provided. (emphasis added)

An example of implementation of this policy is not available because the institution has had no cause to dismiss a governing Board member.

**Sources** (In Order of Appearance)

- [PDF] Code of Alabama 1975 Title 16 Chapter 47 Section 16-47-30
- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 10)
3.2.6

Governance and Administration: Board/administration distinction

There is a clear and appropriate distinction, in writing and practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

As explained in the "UAB Structure" section of the You and UAB Handbook, the handbook describing UAB's administrative policies and procedures that affect its employees, UAB is part of the University of Alabama System, which also includes the University of Alabama in Tuscaloosa and the University of Alabama in Huntsville. These three campuses operate under the Board of Trustees of the University of Alabama (the Board). Each campus is led by a president who reports to the Chancellor of the University of Alabama (UA) System, who reports directly to the Board. Lines of authority are demonstrated in the UA System organizational chart.

Written policies are communicated to constituents on the UAB Policies and Procedures Library, a searchable website repository of all current university-wide policies and associated procedures. Included on this website are current versions of the Board of Trustees of the University of Alabama Board Manual, UAB Faculty Handbook and Policies, and You and UAB Handbook. The You and UAB Handbook describes UAB's administrative policies and procedures that affect its employees and is only one resource containing personnel-related policies. Individual departments may have policies of their own.

Board of Trustees of the University of Alabama

Article I of the Bylaws of the Board of Trustees states that the entire management and control over the activities, affairs, operations, business, and property of the UA System shall be completely and absolutely vested in the Board. The Board may exercise its management and control by delegating as appropriate.

Article I, Section 6 of the Bylaws of the Board of Trustees explicitly states that the primary functions of the Board shall be to determine major policy; review existing policy; define the missions, role, and scope of the campuses and each of its major divisions or component institutions; and provide ultimate accountability to the public and the political bodies of Alabama.

The Faculty Handbook and Policies states that it is a reflection of current policies or rules of the Board; however, changes or additions to such policies or rules may have become effective since the Faculty Handbook and Policies's approval and publication. In the event of such a conflict, current statements of Board policy contained within the official Board minutes and manual of rules, bylaws, and guidelines shall prevail. This statement affirms the Board’s ultimate authority for policy making.

Chancellor

Article V, Section 2 of the Bylaws of the Board of Trustees defines the Chancellor's role as the chief executive officer of the University System and the principal link between the Board’s responsibility for policy and the President’s responsibility for operations. The Chancellor is delegated full authority to formulate and issue regulations and orders not inconsistent with Board policy.

President

Article V, Section 3 of the Bylaws of the Board of Trustees specifies that there shall be a President of each component institution of the UA System who shall be the chief executive officer thereof and who shall have full authority to administer campus affairs and to formulate and issue regulations and orders consistent with bylaws, rules, policies, and procedures of the Board and the Chancellor. This authority is also specified in Section 1.2.1 of the Faculty Handbook and Policies. Within the general authority granted by the Board and the Chancellor, the President has a primary responsibility for all of the factors that contribute to the quality of academic (teaching, research, and public service) and support programs of the campus. Such factors include the general supervision of all campus faculties, the allocation and utilization of available resources within the campus, and any and all matters related to the welfare of the campus. For example, the President implements assigned investment responsibilities and ensures compliance with restrictions established by external donors, as well as limitations placed by the Board on funds functioning as endowment. The President also develops and submits to the Chancellor Campus Master Plans, Facilities Development Programs, and Capital Development Programs. The President’s job description further outlines the role of this position and its relation to senior administration:

Serves as the Chief Executive Officer (CEO) of the University of Alabama at Birmingham. Exists to provide management and control over the activities, affairs, operations, business and property of the institution. As Chief Executive Officer administers campus affairs and formulates rules and regulations consistent with the bylaws, policies and procedures of the Chancellor and Board of Trustees. Interfaces with local, state, regional, national and international governmental and non-governmental agencies and institutions to enhance and extend UAB’s programs and services to the public at large. Reporting directly to the President are the Provost, Vice President for Financial Affairs and Administration, Vice President for Information Technology, Vice President for Development, Alumni & External Relations, CEO of the Health System, Athletic Director and Directors of State and Federal Relations. Reporting to the President on matters of policy, vision and long range strategic planning are the Senior Vice President for Medicine, Vice President for Research and the Vice President for Equity and Diversity.

A System Council, composed of the Chancellor and the three Presidents and selected members of the System staff, makes recommendations to the Board concerning matters affecting the common interests of the universities.
Faculty

Faculty responsibilities are listed in Section 2.2 of the Faculty Handbook and Policies. Additionally, Section 3.1 of the Faculty Handbook and Policies explains that while it is the responsibility of UAB's Administration to maintain current and fair policies and procedures and to appropriately and frequently communicate current information about policies and procedures to appropriate UAB employees, it is the responsibility of faculty members to be aware of such policies and procedures and recognize that lack of compliance with specific policies and procedures can potentially lead to actions up to and including termination.

At the same time, Section 1.2.2.1 of the Faculty Handbook and Policies emphasizes that the principle of shared governance is essential for ensuring a culture of trust, collaboration, and mutual accountability. Faculty participation in governance promotes a diversity of ideas, collaboration, shared responsibility, collegiality, and institutional excellence. Faculty participate and have representation on committees/groups at the University level and at the academic unit level.

University-level Committees

The Faculty Senate members are elected representatives of their school/college/library. The Faculty Senate has six standing committees:

- The Curriculum Committee is responsible for reviewing matters and recommending policy pertaining to the curriculum and to the environment for learning and the dissemination of knowledge. Specific matters for review and advice include academic standards and requirements for admission and graduation; the university calendar, academic, research, and service programs, both existing and proposed; and existing policies and procedures, which may affect the environment for learning and the dissemination of knowledge. (Current membership available at the Faculty Senate Curriculum Committee website (internet access required).)

- The Faculty Affairs Committee is responsible for reviewing matters and suggesting policy relating to the welfare and responsibilities of faculty at the university. These matters include but are not limited to terms and conditions of faculty employment; grievance procedures and due process of faculty personnel matters; performance expectations of faculty and administrators; and administrative structure. (Current membership available at the Faculty Senate Faculty Affairs Committee website (internet access required).)

- The Finance Committee is responsible for reviewing budgetary matters relevant to faculty well-being and the environment for research, learning, and information dissemination at the university. (Current membership available at the Faculty Senate Finance Committee website (internet access required).)

- The Faculty Policies and Procedures Committee (FPPC) reviews existing university policies and procedures and considers changes to the UAB Faculty Handbook. The FPPC also provides feedback on policies developed or revised by Enterprise and University compliance committees. (Current membership available at the Faculty Senate Faculty Policies and Procedures Committee website (internet access required).)

- The Governance and Operations Committee is responsible for continuous review of the senate’s organization and procedures and for recommending changes it deems desirable in either the constitution or the bylaws. (Current membership available at the Faculty Senate Governance and Operations Committee website (internet access required).)

- The Research Committee is responsible for reviewing matters and recommending policy pertaining to research and to the environment for research and the dissemination of research knowledge. Specific matters for review and advice include: research and service programs, both existing and proposed, and existing policies and procedures which may affect the environment for research and the dissemination of research knowledge. (Current membership available at the Faculty Senate Research Committee website (internet access required).)

The Faculty Senate appoints representatives to university-wide committees for the purpose of representing the interests and concerns of faculty and the Faculty Senate and to stay abreast of the activities and decisions being made. (A current list of representatives is available on the Faculty Senate website (internet access required).)

Academic-level Committees

Faculty also participate at academic-unit level committees which may address implementation and administration of university policies. Examples from three school/college faculty handbooks are shown below:

- Collat School of Business (CSOB)
  - Faculty Affairs Committee
  - Diversity Committee
  - Promotion and Tenure Committee
  - Departmental Review Committee
  - Undergraduate Curriculum Committee
  - Graduate Curriculum Committee
  - School-wide Curriculum Committee
  - Business Honors Committee
  - Executive Committee
  - Leadership Committee

- College of Arts and Sciences
  - Faculty Affairs Committee
  - Promotion and Tenure Committee
  - President's Award for Excellence in Teaching Committee
  - Curriculum and Educational Policies Committee

- School of Dentistry
  - SoD Faculty Council
Illustration of Distinction

Distinction in lines of authority is illustrated in the process of approval of new degree programs, most recently shown in the approval of the Bachelor of Fine Arts in Musical Theatre. At the undergraduate level, establishment of a new major requires that the academic unit complete a proposal approved by the appropriate department chair and dean that is forwarded to the Vice Provost for Student and Faculty Success. The Vice Provost forwards the proposal to the Academic Programs Review Committee (APRC), the subcommittee of the Faculty Senate charged with overseeing review of undergraduate program issues and making recommendations to the Provost. After review and approval by the APRC, program-related items are sent to the Provost for review and then to the President for final internal approval. Program proposals approved by the UAB President are submitted to the Chancellor of the University of Alabama System for consideration by the Board.

Recommendation and approval of tuition and fees is an additional example of the lines of lines of authority. The Provost in concert with the Vice President for Financial Affairs and Administration recommends rates for those general fees that apply equally to all students in a particular category to the President based on discussions with the deans, student leaders, and officials of the UA System Office and other campuses. The President reviews those recommendations and, if he approves, submits them to the Chancellor for consideration of the Board. Minutes from the Finance Committee of the Board demonstrate this relationship, where it is documented that the presidents of the three University of Alabama System universities recommended tuition rates, and the Finance Committee recommended their approval by the Board.

Sources (In Order of Appearance)

[PDF] You and UAB Handbook (Page 8)
[PDF] UAB System Organizational Chart
[PDF] UAB Policies and Procedures Library
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 9)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 11)
[PDF] Faculty Handbook and Policies (Page 4)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 19)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 21)
[PDF] Faculty Handbook and Policies (Page 13)
[PDF] UAB President Job Description
[PDF] Faculty Handbook and Policies (Page 17)
[PDF] Faculty Handbook and Policies (Page 45)
[PDF] Faculty Senate - Curriculum Committee
[URL] Faculty Senate Curriculum Committee
[PDF] Faculty Senate - Faculty Affairs Committee
[URL] Faculty Senate Faculty Affairs Committee
[PDF] Faculty Senate - Finance Committee
[URL] Faculty Senate Finance Committee
[PDF] Faculty Senate - Faculty Policies and Procedures Committee
[URL] Faculty Senate Faculty Policies and Procedures Committee
[PDF] Faculty Senate - Governance and Operations Committee
[URL] Faculty Senate Governance and Operations Committee
[PDF] Faculty Senate - Research Committee
[URL] Faculty Senate Research Committee
[PDF] University-wide Committee Listing
3.2.7

**Governance and Administration: Organizational structure**

The institution has a clearly defined and published organizational structure that delineates responsibility for the administration of policies.

**Judgment**

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

**Narrative**

**Organizational Charts**

The University of Alabama at Birmingham (UAB) has an organizational structure that reflects the direct and delegated responsibilities for the administration of its policies. This organizational structure is illustrated in both the University of Alabama (UA) System’s organizational chart which is located on its website (internet access required) and the institution’s organizational chart (as of 1-Sep-2014). The organizational chart for UAB is published in Facts & Figures 2013-2014, which also is available online (internet access required), and on the Office of the President website (internet access required).

The University organizational chart is revised as structural changes are announced and is reviewed during the annual preparation of Facts & Figures.

**Delegation of Authority**

A primary document that establishes the administrative structure governing policy is the Board of Trustees of the University of Alabama (the Board) Board Manual. In Article I, Section 6 of the Bylaws of the Board of Trustees, the Board recognizes that as a primary responsibility it must determine major policy, review existing policy, and provide ultimate accountability to the public and the State of Alabama. Within this fundamental activity, the Board performs many essential functions that include but are not limited to: a) establishing policies and goals of the UA System and directing the Chancellor to implement and achieve these policies and goals, b) approving admission policies and levying fees and charges, c) approving or designating who shall approve compensation policy for faculty and staff, d) establishing objectives, policies, and practices for effective and prudent management, control, and preservation of the investment assets of the university, and e) establishing auditing policies and standards and appointing independent auditors.

In Article V, Section 2 of the Bylaws of the Board of Trustees, the role of the Chancellor in administering policy is defined. The Chancellor serves as the chief executive officer of the UA System and is delegated full authority to formulate and issue regulations and orders not inconsistent with Board policy. The Chancellor is the principal link between the Board's responsibility for policy and each President's responsibility for operations. The Chancellor reports directly to the Board the current affairs of all components of the University and discusses with the Board basic issues, new or alternative directions, and recommendations on new policies. The Chancellor's duties and responsibilities include but are not limited to: a) implementing board policies, continuously reviewing the administration and effect of these policies, and recommending to the Board, for consideration, modifications of policies and new policies at both campus and system levels, and b) coordinating the development and recommending to the Investment Committee of the Board for adoption by the Board objectives, policies, and practices that will provide for effective and prudent management, control, and preservation of the investment assets of the UA System and supervising the implementation of established investment policies and practices.

Article V, Section 3 of the Bylaws of the Board of Trustees authorizes the President of UAB to develop and administer policy for the institution. The University-wide Policy Development Process is initiated by an executive sponsor who evaluates the need for the new or revised policy and is completed with Presidential review and approval. Approved policies concerning UAB faculty and employees are published in handbooks and manuals such as the UAB Faculty Handbook and Policies, the You and UAB Handbook, and the online UAB Policy and Procedures Library. The latter source (internet access required) is a searchable repository of all current university-wide policies and associated procedures, including human resources and the Faculty Handbook and Policies. These documents and sources intend to reflect current policies or rules of the Board and provide information as to the administration of the policy.

The Senior Officer Job Descriptions (President, Provost, Senior Vice President for Medicine/Dean of the School of Medicine, Vice President for Equity and Diversity, Vice President for Financial Affairs and Administration, Vice President for Information Technology/Chief Information Officer, Vice President for Research and Economic Development, Vice President for Development, Alumni and External Relations, Vice Provost for Administration and Quality Improvement, and Vice Provost for Student and Faculty Success) and Dean Offer Letters make the responsibilities of these administrators within the organization clear.

Finally, the faculty role in academic unit and university policy making is addressed by committee representation and shared governance, with is addressed in 1.2.2.1 UAB Faculty Participation in Shared Governance in a Community of Learners and succeeding subsections of the UAB Faculty handbook and Policies. The faculty role is further emphasized in the UAB Organizational Chart by the Faculty Senate having direct links to both the President and Provost.

**Sources** (In Order of Appearance)

- [PDF] UA System Organizational Chart
- [URL] University of Alabama System Organizational Chart
3.2.8

Governance and Administration: Qualified administrative/academic officers

The institution has qualified administrative and academic officers with the experience and competence to lead the institution.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Definition

As used herein, "Senior Administrative Officers" means the individuals holding the following positions:

- President
- Senior Vice President for Medicine and Dean of the School of Medicine
- Vice President for Development, Alumni, and External Relations
- Vice President for Equity and Diversity
- Vice President for Financial Affairs and Administration
- Vice President for Information Technology and Chief Information Officer
- Vice President for Research and Economic Development

As used herein, "Senior Academic Officers" means the individuals holding the following positions:

- Provost
- Vice Provost for Administration and Quality Improvement
- Vice Provost for Student and Faculty Success
- Dean of the College of Arts and Sciences
- Dean of the School of Business
- Dean of the School of Dentistry
- Dean of the School of Education
- Dean of the School of Engineering
- Dean of the Graduate School
- Dean of the School of Health Professions
- Dean of the Honors College
- Dean of the Libraries
- Dean of the School of Nursing
- Dean of the School of Optometry
- Dean of the School of Public Health

Together, "Senior Administrative Officers" and "Senior Academic Officers" are referred to as "Senior Officers." The Senior Officers lead UAB. The UAB organization chart (as of 9/1/14) shows the positions and reporting relationships of the Senior Officers. It should be noted that the Dean of Libraries is a new role effective August 2014 which assumes the duties and responsibilities of the Directors of Mervyn H. Sterne Library and Lister Hill Library of the Health Sciences.

Position Descriptions

UAB maintains position descriptions for the Senior Officers which provide the basis with which to measure the qualifications of candidates who are being considered for the Senior Officer positions. These descriptions provide the duties, educational requirements, experience requirements, and other required abilities for the Senior Officers necessary for their respective leadership positions.

The position descriptions for the Senior Administrative Officers and for the Provost and Vice Provosts are maintained by the Compensation Department of the office of the Chief Human Resources Officer and are periodically updated.

For the Senior Academic Officers other than the Provost and Vice Provosts, position descriptions are maintained by the Office of the Provost in the form of the offer letters to the individuals holding those positions. As positions become vacant or as new positions are created, these descriptions are updated by the Office of the Provost and are used in the recruiting process and in new offer letters. Letters of offer are individualized based upon the characteristics of each school/college (balance of teaching, research, and service and if a clinical component is present) and the goals of the President and Provost for that academic unit. However, all letters are based upon the Areas of Responsibility for Dean Evaluations. The offer letters of the incumbent Senior Academic Officers (other than the Provost and Vice Provosts) are provided, along with the advertisements used for recruiting candidates for these positions. Responsibilities of the deans are also documented in Areas of Responsibility for Dean Evaluations.

When the competencies and experiences of UAB's current Senior Officers are compared to the appropriate position descriptions, it is evident that these Senior Officers meet or exceed the requirements of the descriptions and have the capacity to lead UAB.

Qualifications

The Qualified Administrative/Academic Officers table briefly describes the responsibilities, educational backgrounds, and professional experiences of the UAB Senior Officers. In addition, curriculum vitae, job descriptions, and offer letters can be viewed using the links below.
The University of Alabama at Birmingham

The recent appointments of two Vice Presidents warrant mention. Jeffery A. Neyland was appointed interim Vice President for Information Technology and Chief Information Officer after the retirement of Dr. E. Douglas Rigney. Mr. Neyland’s role is to manage daily operations, implement recommendations of an external evaluation, and assist in the national search for a permanent replacement.

G. Allen Bolton Jr. will join UAB 1-Oct-2014 as Vice President for Financial Affairs and Administration after a national search; his CV is included.

Process for Assuring Qualified Administrative and Academic Officers

Recruitment and Hiring Process

UAB follows a process for recruiting and hiring the Senior Officers who have the experience, competence, and capability to lead the institution. The UAB Policies and Procedures Library provides guidance for this process in the following areas:

- The Recruitment Policy describes the accepted methods of recruiting for vacant positions, including those for Senior Officers.

- The Hiring Approval Policy describes UAB’s commitment to following approved hiring procedures and outlines the responsibilities of Human Resources regarding these positions. For example, this policy requires that Human Resources conduct background and drug screens on all candidates for employment at UAB, including the Senior Officers.

- The Pre-employment Background Investigation Policy provides further guidance on the background investigations conducted for candidates selected for hire at UAB, including academic credentials verification.

As a Senior Officer position becomes vacant, the President (for Senior Administrative Officers) or the Provost (for Senior Academic Officers) forms a search committee composed of faculty, administrators, staff, students, and, where appropriate, alumni and others from outside UAB. The search committee leads the recruitment process and determines whether candidates meet the qualifications outlined in the relevant job description. UAB Human Resources provides guidelines for recruiting senior staff members, which includes organizing the search, engaging search firms, interviewing candidates, and gathering the equal employment data that must be collected.

It is UAB policy that an individual who is a member of UAB’s Affirmative Action Officers Committee must serve as a non-voting member of each committee formed for recruitment of any Senior Officer. Members of the Affirmative Action Officers Committee are periodically appointed by the dean of each school/college or, in the case of non-academic departments, by the appropriate Senior Administrative Officer. These individuals provide leadership in establishing diversity as a core value in all parts of UAB.

Following both of the institutional policies as well as the direction of the search committee, descriptions of the available Senior Officer positions are advertised both internally and externally. The search committee interviews candidates and makes a recommendation to the President, in the case of Senior Officers other than the President, or to the Provost, in the case of all Senior Academic Officers other than the Provost. The Provost makes a recommendation to the President on candidates for Senior Academic Officer positions recommended to him or her by search committees.

UA System Review

Article V, Section 2, Item 11 of the Bylaws of the Board of Trustees require that the President of UAB review his or her recommendations for the hiring of Senior Officers with the Chancellor of the University of Alabama System. In turn, the Chancellor transmits the
President’s recommendations to the Board of Trustees of the University of Alabama (the Board) along with the Chancellor’s own recommendation for appointment and compensation of the Senior Officers. In addition, Board Rule 302 requires that before an initial offer is made to a Senior Officer, the Chancellor must recommend to the Compensation Committee of the Board for approval, modification, or rejection the compensation of the Senior Officers. In the case of a search for the President, the search committee makes a recommendation directly to the Chancellor, and the Chancellor transmits his or her recommendation to the Board.

**Faculty Appointments**

UAB usually offers faculty appointments to individuals to whom offers of employment for Senior Academic Officer positions are being made. Section 2.9 of the *UAB Faculty Handbook and Policies* describes the necessary qualifications for a faculty appointment at UAB.

**Sources** (In Order of Appearance)

- [PDF] UAB Organizational Chart
- [PDF] Areas of Responsibility for Dean Evaluations
- [PDF] Ads for Dean positions
- [PDF] Prototype: Areas of Responsibility for Dean Evaluations
- [PDF] Qualified Administrative/Academic Officers Table
- [PDF] CV - Dr. Ray L. Watts
- [PDF] JD - President
- [PDF] CV - Dr. Selwyn M. Vickers
- [PDF] JD - Sr. VP Medicine, Dean of Medicine
- [PDF] Offer - Dr. Selwyn M. Vickers
- [PDF] CV - Dr. Louis Dale
- [PDF] JD - VP Equity and Diversity
- [PDF] CV - Dr. Shirley Salloway Kahn
- [PDF] JD - VP Dev., Alumni, and Ext. Relations
- [PDF] CV - Richard L Margison
- [PDF] CV - G. Allen Bolton, Jr
- [PDF] JD - VP Financial Affairs and Administration
- [PDF] CV - Jeffery A. Neyland
- [PDF] JD - VP IT and CIO
- [PDF] CV - Dr. Richard B. Marchase
- [PDF] JD - VP Research and Econ Dev
- [PDF] CV - Dr. Linda C. Lucas
- [PDF] JD - Provost
- [PDF] CV - Harlan M. Sands
- [PDF] JD - V. Provost Admin and Qual. Imp
- [PDF] CV - Dr. Suzanne E. Austin
- [PDF] JD - V. Provost Stu. and Fac. Success
- [PDF] CV - Dr. Robert E. Palazzo
- [PDF] Offer - Dr. Robert E. Palazzo
- [PDF] CV - Dr. Eric P. Jack
- [PDF] Offer - Dr. Eric P. Jack
- [PDF] CV - Dr. Michael Reddy
- [PDF] Offer - Dr. Michael Reddy
- [PDF] CV - Dr. Deborah L. Voltz
- [PDF] Offer - Dr. Deborah L. Voltz
- [PDF] CV - Dr. J Iwan Alexander
- [PDF] Offer - Dr. J Iwan Alexander
- [PDF] CV - Dr. Bryan D. Noe
- [PDF] Offer - Dr. Bryan D. Noe
- [PDF] CV - Dr. Shannon L. Blanton
- [PDF] Offer - Dr. Shannon L. Blanton
- [PDF] CV - Dr. John M. Meador
- [PDF] Offer - Dr. John M. Meador
- [PDF] CV - Dr. Harold P. Jones
- [PDF] Offer - Dr. Harold P. Jones
- [PDF] CV - Dr. Doreen C. Harper
3.2.9

Governance and Administration: Personnel Appointment
The institution publishes policies regarding appointment, employment, and evaluation of all personnel.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The University appoints and employs faculty and staff in accordance with defined policies that are published and available on UAB websites.

The following narrative describes the hiring policies and procedures relating to equal opportunity and regulatory compliance, and discusses the dissemination, approval, and ongoing review of employment policies and practices.

Policies for Staff
Human Resources (HR) staff employment policies include information relating to the following: criteria for employment, background checks, equal employment opportunity compliance, wage and salary, benefits, leave, and termination/dismissals. University policies for staff hiring, employment, development, and performance evaluation are based upon the rules and regulations adopted by HR and are included in You and UAB Handbook (the handbook for faculty and staff) and the UAB Policies and Procedures Library. (Internet access required for current content of the UAB Policies and Procedures Library.) Key policies and procedures for appointment, employment, and evaluation are given below, with links to the policies and short descriptions.

Appointment

- Recruitment - HR Policy 105. This policy describes accepted methods of recruiting for vacant positions.
- Hiring Approval Policy - HR Policy 101. This policy describes UAB and UAB Medicine's commitment to following approved hiring procedures and outlines the responsibilities Human Resources regarding these procedures.
- Hiring/Salary Determination - HR Policy 112. This policy reviews the salary determination policy.
- Filling a Position - HR Policy 102. This policy describes the processes for creating a new position and refilling an old position.
- Selection - HR Policy 110. Selection of the successful applicant is the decision of the hiring department. The appropriate recruiter must be notified before a hire offer can be extended. This step verifies that the recruitment process has been correctly followed and completed.

Employment

- Discipline - HR Policy 603. This policy identifies UAB's disciplinary process for employees. The steps of discipline (oral and written warning, probation, suspension, and dismissal) are listed and described in detail.
- Promotions and Transfers - HR Policy 111. This policy details the requirements and specifications for promotions within a department and internal transfers.
- Problem Resolution Procedure for Non-faculty Employees - HR Policy 608. This policy details the internal process used to address with Non-faculty employee complaints.
- Termination of Employment - HR Policy 605. This policy describes the circumstances and procedures that relate to termination of employment at UAB.

Evaluations

- Performance Evaluations - HR Policy 606. Explanation of the performance evaluation process to include an evaluation following the initial six-months of employment and annually thereafter.

The University Human Resources Office is charged with monitoring compliance with these employment procedures for staff positions. In addition, the HR office posts positions via the University's official applicant tracking system.

Recently hired staff (and many faculty) attend New Employee Orientation, where the You and UAB Handbook is distributed and reviewed, with specific attention given policies.

Policies for Faculty
The rules, regulations, and procedures that govern the hiring, employment, and evaluation of full-time and part-time faculty are defined in the Faculty Handbook and Policies, which are also contained in the UAB Policies and Procedures Library. The Faculty Handbook and Policies is maintained on the University's Faculty website (internet access required) as well as the Faculty Senate website (internet access required). Section 2.0 Faculty Appointments, Promotions, Tenure, Resignation, Termination, and Grievance of the Faculty Handbook and Policies includes most policies related to faculty appointment and employment. Section 3.0 Other Faculty Rights and Responsibilities of the Faculty Handbook and Policies has additional applicable sections. Appendices A and B discuss the review process of grievances and termination for cause, respectively. Specific text related to appointment, employment, and evaluation are given below, with links and short descriptions. It should noted that policies may apply to more than one aspect of the standard.

Appointment
• 2.2 Faculty Rights and Responsibilities - outlines duties and activities in which faculty are expected to participate
• 2.5 Types of Faculty Appointments - Describes academic units, full-time/part-time appointments, non-tenure-earning appointments, and graduate faculty status
• 2.6 Faculty Ranks - Describes academic ranks and university-wide vision of accomplishments to attain this rank
• 2.7 Titles for Academic Librarians - Describes academic librarian ranks and university-wide vision of accomplishments to attain this rank
• 2.8 Special Faculty Ranks and Appointments - Describes criteria for distinguished professor; university professor; academic chairs, professorships, and endowed lectureships; and emeritus faculty
• 2.10 Specific Criteria for Appointment, Promotion, and Award of Tenure - Describes criteria for promotion and tenure.
• 2.11 Procedures for Faculty Appointments, Reappointments, Promotions, and Awards of Tenure - Describes process for appointment, promotion, and tenure
• 2.12 Initial Appointments of Faculty - Describes process, including recruitment, for initial appointment as a faculty member
• 2.15 Tenure - Describes process of earning tenure, including eligibility, period, changes in status, and review of progress
• 2.16 Faculty Promotion - Describes process for promotion, including review of progress
• 3.1 Principles of Responsibilities - Describes responsibilities of faculty

Employment

• 2.2 Faculty Rights and Responsibilities - outlines duties and activities in which faculty are expected to participate
• 2.5 Types of Faculty Appointments - Describes academic units, full-time/part-time appointments, non-tenure-earning appointments, and graduate faculty status
• 2.10 Specific Criteria for Appointment, Promotion, and Award of Tenure - Describes criteria for promotion and tenure.
• 2.11 Procedures for Faculty Appointments, Reappointments, Promotions, and Awards of Tenure - Describes process for appointment, promotion, and tenure
• 2.13 Reappointment and Non-reappointment of Non-tenured Faculty - Describes process and procedures for reappointment and non-reappointment of faculty
• 2.15 Tenure - Describes process of earning tenure, including eligibility, period, changes in status, and review of progress
• 2.16 Faculty Promotion - Describes process for promotion, including review of progress
• 2.17 Appeals - Describes appeals process for promotion and tenure decisions
• 2.18 Termination of Employment of Tenured Faculty - Describes process for terminating tenured faculty due to financial exigency or financial crisis, or unit closure
• 2.19 Grievances (other than appeals) - Describes process for resolving grievances
• 2.20 Resignation - States that faculty who resign are expected to complete the academic year, although UAB may agree to an earlier date
• 2.21 Retirement - States that there is no mandatory retirement age
• 3.1 Principles of Responsibilities - Describes responsibilities of faculty
• 3.5 Maintenance of Ethical Standards When Conducting Teaching, Research and Service Activities - Describes ethical expectations for faculty, with links to applicable documents within the Policies and Procedures Library (internet access required)
• 3.6 Standards of Behavior - Describes expectations for behavior in the work/study environment, with links to applicable documents within the UAB Policies and Procedures Library (internet access required)
• Appendix A: Faculty Grievance Procedures - Describes procedure for faculty grievances
• Appendix B: Review of Recommendations for Termination for Cause of a Tenured Faculty Member or of a Faculty Member Whose Term of Appointment Has Not Expired - Describes termination for cause process

Evaluations

• 2.14 Annual Faculty Evaluations - Describes annual evaluation requirements and responsibilities
• 2.15 Tenure - Describes process of earning tenure, including eligibility, period, changes in status, and review of progress
• 2.16 Faculty Promotion - Describes process for promotion, including review of progress
• 2.17 Appeals - Describes appeals process for promotion and tenure decisions
• Appendix B: Review of Recommendations for Termination for Cause of a Tenured Faculty Member or of a Faculty Member Whose Term of Appointment Has Not Expired - Describes termination for cause process

The Office of the Associate Provost for Student and Faculty Success maintains University records relating to faculty and works with HR to ensure faculty appointments, promotion, and tenure are approved at the University level as required. The Faculty Recruitment and Advertisement Guide that can be found on the Faculty website aims to help departments effectively manage and organize faculty recruitment activities and advertisements to ensure that all required procedures and policies are adhered to throughout the faculty recruitment, selection, and hiring/appointment process.

Prototypical letters of offer have been developed and are available on the Faculty website for tenure-track and non-tenure track positions in the academic schools/college and for tenure-track and non-tenure track positions in the health-related schools (except for the School of Medicine). Similar letters for the School of Medicine are under development. These templates assure that expectations and policies for faculty hires are uniform and clear. These offer letters make clear the importance of the Faculty Handbook and Policies. Specifically, they state:

... The UAB Faculty Handbook addresses many questions that you may have about the rights and responsibilities of faculty at UAB, as well as information about UAB policies and procedures related to faculty, including promotion and tenure guidelines. This document is available online at http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx...

... By accepting this appointment, you agree to teach, conduct research or engage in scholarship, and provide service, at any location within the University as specified by your department chair. You also agree to the “General Terms and Conditions of Faculty Appointment” in Attachment A and to the “Specific Terms and Conditions of Faculty Appointment” in Attachment B. This letter and these two attachments comprise the entire terms and conditions of your faculty appointment and may not be modified or altered by any oral or written statement or representation unless such statement or representation is confirmed in writing.
under the President’s or Provost’s signature....

Attachment A includes this statement on the Faculty Handbook and Policies:

7. Faculty Handbook
Your appointment is subject to all terms and conditions of the Faculty Handbook (the “Handbook”) and any future modifications to it. The Handbook, as modified, is hereby incorporated by reference, except as otherwise specifically provided by your offer letter. The UAB Faculty Handbook addresses many questions that you may have about the rights and responsibilities of faculty at UAB. The UAB Handbook contains information about UAB policies and procedures related to faculty, including promotion and tenure guidelines. This document is available online at http://www.uab.edu/policies/Pages/Faculty-Handbook.aspx. As a UAB employee, you will also be subject to the terms and conditions in the You & UAB Handbook although the terms of the Faculty Handbook take precedence to the extent of any conflict. You & UAB can be found online at http://www.uab.edu/humanresources/home/tools/you-and-uab-handbook.

Evidence and Review of Policies
The Board of Trustees of the University of Alabama (the Board) delegates to the President the authority to promulgate the administrative regulations, including the Human Resources Policy and Procedures and the Faculty Policies and Procedures.

University policies and regulations are reviewed by the standing Faculty Policies and Procedures Committee (FPPC; internet access required), which recently became a committee of the Faculty Senate, which meets monthly. A graphical representation of the regulation review process is available in the UAB Policies and Procedures Library. When revisions are recommended by the FPPC, they are forwarded to the Faculty Senate for approval, then to the Vice Provost for Student and Faculty Success, the Provost, and the President, before being sent to the Board. When approved, the new or revised regulation/policy is announced to the University community through email and periodically through UAB’s online campus news source, the eReporter. Changes also can be found in the Faculty Senate minutes and are posted on the UAB Policies and Procedures Library website. Each policy includes the original date issued and date revised, if applicable. All policies undergo review by the FPPC every five years.

Equal Opportunity and Regulatory Compliance
The University follows all federal and state laws to recruit a diverse employee base and is an equal opportunity and Affirmative Action employer, committed to a policy of providing opportunities regardless of economic or social status. The University does not discriminate on the basis of race, color, religion, sex, national origin, disability unrelated to job performance, veteran status, genetic or family medical history. The University does not discriminate on the basis of ethnic origin, sexual orientation, gender identity, or gender expression. The Office of Equity and Diversity is responsible for upholding the University’s commitment to equal opportunity for all members of the University community in academic programs, research, service, and employment and handles questions concerning compliance with regulations.

Documentation of the faculty recruitment process is available on the Faculty Recruitment Experience Report which is on file in the Office of the Provost, HR, and the Office of Equity and Diversity. All recruitment materials are also maintained by these same units at the conclusion of each faculty recruitment.

The Office of Equity and Diversity, through Disability Support Services and Human Resources, coordinates the University’s efforts to comply with the laws and regulations applicable to individuals with disabilities, as required by Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990.

Sources (In Order of Appearance)

[PDF] You and UAB Handbook
[PDF] UAB Policies and Procedures Library
[URL] Policies and Procedures Library Link
[PDF] Recruitment - HR Policy 105
[PDF] Hiring Approval Policy - HR Policy 101
[PDF] Hiring/Salary Determination - HR Policy 112
[PDF] Filling a Position - HR Policy 102
[PDF] Selection - HR Policy 110
[PDF] Discipline - HR Policy 603
[PDF] Promotions and Transfers - HR Policy 111
[PDF] Problem Resolution Procedure for Non-faculty Employees - HR Policy 608
[PDF] Termination of Employment - HR Policy 605
[PDF] Performance Evaluations - HR Policy 606
[PDF] UAB - Human Resources - New Employee Orientation
[URL] University Faculty website
[URL] UAB Faculty Senate website
[PDF] Faculty Handbook and Policies (Page 17)
[PDF] Faculty Handbook and Policies (Page 45)
[PDF] Faculty Handbook and Policies (Page 61)
3.2.10

Governance and Administration: Administrative staff evaluations

The institution periodically evaluates the effectiveness of its administrators.

Judgment

☒ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Evaluation by President or Provost

Responsibility for the evaluation of the administrative officers follows reporting lines defined by the UAB organizational chart (effective 1-Sep-2014). The Chancellor of the University of Alabama System is responsible for evaluating the President. The President is responsible for evaluating the Provost, the Senior Vice President for Medicine/Dean of the School of Medicine, direct report Vice Presidents, and the Chief Executive Officer of the UAB Health System. The Vice Provosts and Deans are evaluated by the Provost.

The President's annual written review of the Executive Level Administrators named above are initiated by the President's request for self-evaluations of performance and achievements from the past year and goals for the upcoming year. The President then provides a review of the self-evaluations based on unit goals and job descriptions. Copies of the reviews are given to each administrator and maintained in the President’s Office and Human Resources. The request for self-evaluation as well as the evaluation of the Provost are shown as an example.

The Provost has developed a prototype framework of administrative responsibilities that is used to evaluate each of the Deans. In a manner consistent with Human Resource Policy 606 - Performance Evaluations, each Dean is evaluated annually by the Provost. Written evaluations are recorded and maintained in the Provost's office. Within the context of the strategic plan, the Provost meets with each Dean to review benchmarks for the upcoming year for his or her school. The request for self-evaluation for the Dean of the Graduate School, the Deans of the professional schools, and the remaining Deans are included. Several example evaluations are also included.

Evaluations by Constituent Faculty

Faculty evaluations of administrative officers are conducted every two years. Article II.7.e of the UAB Faculty Senate Bylaws state "the Faculty Affairs Committee is responsible for supervising periodic evaluations of academic administrators (Department Chairs, Deans, and Library Directors), the Provost and the President by their constituents."

Chairs and administrators who have been in their current positions at least two years are evaluated by constituent faculty through an electronic survey instrument, which has been in use since 2003. Kansas State University’s Center for Individual Development and Educational Assessment (IDEA) has developed electronic survey instruments to evaluate department chairs and administrators. Letters from the chair of the Faculty Senate to chairs and deans explaining the process and expectations are provided.

The IDEA Center compiles the evaluations, summaries, and faculty comments and provides three copies to UAB. One copy is filed in the Office of the Vice Provost and Faculty Success. The second copy is distributed to the individual being evaluated. The third copy is distributed to the supervisor of each individual being evaluated to aid them in their evaluations (for Department Chairs, a copy is provided to their respective Dean; for Library Directors and Deans, a copy is provided to the Provost; for the Provost, a copy is provided to the President; for the President, a copy is provided to the Chancellor). Examples of results for department chairs and deans are provided. The last evaluation of a president and provost with this instrument was in 2010-2011 since it is necessary for an individual to be in the respective position for two years, not including service in an interim capacity.

Sources (In Order of Appearance)

[PDF] UAB Organizational Chart
[PDF] Annual Evaluation of Exec Level Admin Memo (Apr 2014)
[PDF] Presidential Request - Provost Evaluation
[PDF] Provost Evaluation
[PDF] Prototype: Areas of Responsibility for Dean Evaluations
[PDF] Performance Evaluations - HR Policy 606
[PDF] UAB Strategic Planning - Vision and Mission
[PDF] 2013-2014 Dean's Annual Review (GRAD)
[PDF] 2013-2014 Dean's Annual Review (DENT, MED, OPT)
[PDF] 2013-2014 Dean's Annual Review (BUS CAS EDU EGR HP NU)
[PDF] Examples of Dean Evaluations
[PDF] UAB Faculty Senate Constitution and Bylaws (Page 17)
[PDF] IDEA Sample Faculty Perceptions of Chair Survey
3.2.11

Governance and Administration: Control of intercollegiate athletics

The institution's chief executive officer has ultimate responsibility for, and exercises appropriate administrative and fiscal control over, the institution's intercollegiate athletics program.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The Director of the UAB Athletics Department reports directly to the President as shown in the UAB Organizational Chart (effective 1-Sep-2014) and described in the President's job description.

Serves as the Chief Executive Officer (CEO) of the University of Alabama at Birmingham. Exists to provide management and control over the activities, affairs, operations, business and property of the institution. As Chief Executive Officer administers campus affairs and formulates rules and regulations consistent with the bylaws, policies and procedures of the Chancellor and Board of Trustees. Interfaces with local, state, regional, national and international governmental and non-governmental agencies and institutions to enhance and extend UAB's programs and services to the public at large. Reporting directly to the President are the Provost, Vice President for Financial Affairs and Administration, Vice President for Information Technology, Vice President for Development, Alumni & External Relations, CEO of the Health System, Athletics Director [emphasis added] and Directors of State and Federal Relations. Reporting to the President on matters of policy, vision and long range strategic planning are the Senior Vice President for Medicine, Vice President for Research and the Vice President for Equity and Diversity.

Additionally, the Athletics Director's job description states that this position reports to the President. Agenda of several recent meetings between the President and Athletic Director and the key agenda items are:

- President Watts - AD Meeting 14-Apr-2014: Conference USA Tournaments, building renovations, strategic planning
- President Watts - AD Meeting 23-June-2014: Student-Athlete academics, Freedom of Information (FOI) request, Legion Field contract, Men's Basketball coach contract, strategic planning

Building renovations, contracts, and strategic planning are areas that demonstrate the President's oversight of administrative, financial, and fundraising. Student-athlete academics demonstrates the President's role in NCAA compliance.

As specified in Article V, Section 3 of the Bylaws of the Board of Trustees of the University of Alabama, the President has "full authority to administer campus affairs and to formulate and issue regulations and orders not inconsistent with the Bylaws, rules, policies and procedures of the Board and the Chancellor," including, as stated in Item 6, responsibility for intercollegiate athletics.

Section 1.1, Item 6 of the NCAA Certification Report describes the process by which UAB makes major decisions regarding intercollegiate athletics. As stated in this report, "The Athletics Director is charged with the day-to-day management of the Athletics Department and is responsible for ... conferring with the President on major decisions regarding athletics." The report continues, "While the scope of the Board's oversight involves 'ultimate responsibility and authority for the operation of the athletics program assigned to the President,' it does not involve 'actual operation of the athletics program.' ... The Board gives 'clear and direct support' to the President by providing a full and complete delegation of authority as well as assignment of responsibility for the operation of the athletic program. ... The President has, in turn, delegated specific responsibilities and standards to the Athletics Director."

The President maintains decision-making authority and is updated during bi-monthly meetings with the Faculty Athletic Representative. Minutes of these meetings and the key agenda items are:

- President Watts - Faculty Athletic Representative Meeting 21-Jan-2014: Conference USA updates and awards, NCAA information, Student-Athlete academics
- President Watts - Faculty Athletic Representative Meeting 17-Mar-2014: Conference USA updates and awards, Student-Athlete academics
- President Watts - Faculty Athletic Representative Meeting 19-May-2014: Conference USA updates and awards, NCAA reorganization Student-Athlete academics

Sources (In Order of Appearance)

[PDF] UAB Organizational Chart
[PDF] UAB President Job Description
[PDF] UAB Athletic Director Job Description
[PDF] President Watts - AD Meeting 14-Apr-14
[PDF] President Watts - AD Meeting 23-June-14
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 21)
[PDF] NCAA Certification Report (Page 7)
3.2.12

Governance and Administration: Fund-raising activities

The institution demonstrates that its chief executive officer controls the institution's fund-raising activities.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Article V, Section 3, Item 6 of the Bylaws of the Board of Trustees of the University of Alabama includes fundraising as a duty and responsibility of the President. The President has ultimate institutional responsibility for approval of all fundraising initiatives and solicitations (Job Description). The job description of the Vice President for Development, Alumni and External Relations (VPDAE) states that the VPDAE is responsible for directing and managing all fundraising activities as charged by the President. The VPDAE reports to the President, as shown on the UAB Organizational Chart.

The institution is currently in a comprehensive fundraising campaign to support the strategic initiatives of the institution as determined by the President. This campaign is the largest and most comprehensive in the history of the institution and will enable the institution to make game-changing strides in the five pillars of its mission: Education, Research, Service, Patient Care, and Economic Development.

The campaign's theme of Give Something, Change Everything signifies UAB's belief that a gift to the institution, no matter the size, will be used to make a difference. Up-to-date information, co-chairs, and committees are available at the Campaign for UAB website (internet access required). The President has ultimate responsibility for the campaign which is directed and managed by the VPDAE and her staff (see Development Organization Chart). The volunteer structure includes three campaign co-chairs who are community and business leaders of influence, a President's Campaign Executive Committee, and Campaign Leadership Cabinet (see Campaign Organization Chart). Agenda of Leadership Cabinet/Executive committee meetings show the President's role in decision-making and approval.

The President is an active participant in the identification, cultivation, and solicitation of major gift prospects. During the campaign, the institution has received several transformational gifts from donors cultivated and solicited by the President along with the VPDAE. The agendas for their formal meetings between October 2013 and August 2014 show the President's role in donor identification and campaign events.

Sources (In Order of Appearance)

[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 22)
[PDF] JD - President
[PDF] JD - VP Dev., Alumni, and Ext. Relations
[PDF] UAB Organizational Chart
[PDF] Campaign Priorities
[URL] Campaign for UAB
[PDF] Development Organizational Chart
[PDF] Campaign Org Chart
[PDF] President Watts - Campaign Leadership Meetings 27-Feb-14 21-May-14
[PDF] President Watts - VP-DEAR Meetings Oct-13 through Aug-14
3.2.13

**Governance and Administration: Institution-related entities**

For any entity organized separately from the institution and formed primarily for the purpose of supporting the institution or its programs: (1) the legal authority and operating control of the institution is clearly defined with respect to that entity; (2) the relationship of that entity to the institution and the extent of any liability arising out of that relationship is clearly described in a formal, written manner; and (3) the institution demonstrates that (a) the chief executive officer controls any fund-raising activities of that entity or (b) the fund-raising activities of that entity are defined in a formal, written manner which assures that those activities further the mission of the institution.

**Judgment**

- [ ] Compliance  
- [ ] Partial Compliance  
- [ ] Non-Compliance  
- [ ] Not Applicable

**Narrative**

There are four affiliated entities formed primarily for the purpose of supporting the institution or its programs. The legal authority for each entity is clearly defined, as is the relationship to UAB and the extent of any liability arising out of the affiliation. Further, fundraising activities are defined in a formal, written manner which assures those activities further the mission of the institution. The specifics regarding each entity are addressed below.

**The UAB Research Foundation (UABRF)**

The powers of the UABRF, as articulated in the Articles of Incorporation, are to support intellectual property development at UAB. Article VIII of the Articles of Incorporation of the UAB Research Foundation and Article II, Sections 3 and 4 of the By-laws of the UAB Research Foundation allow UAB to appoint a majority of the board of directors. The UABRF reports to the President of UAB as shown in the UAB Organizational Chart (effective 1-Sep-2014). Further, the President of UAB serves as the President of the UABRF Board. The Vice President for Financial Affairs and Administration, as outlined in Section 14 of the Affiliation Agreement, serves as the principal contact for and liaison to the UABRF in regard services provided by UAB to the UABRF and described more fully in the Affiliation Agreement.

Under Government Accounting Standards Board (GASB) regulations, the UABRF is considered a blended component unit of UAB and, as such, a financial benefit/burden relationship exists.

The Affiliation Agreement between the parties (1) further demonstrates the entity’s existence is to benefit UAB and the educational, scientific, research and charitable activities that may be carried out by the University (Section 1); (2) details the extent of the parties’ relationship and the responsibilities of each party (Sections 2 through 10, 13 and 14); (3) clarifies the understanding between the parties that each is a separate legal entity (separate corporate existence cannot generally be disregarded for the purpose of liability) (Section 13); and (4) secures the UABRF’s agreement to abide by Board Rule 411, the policy in regard to fundraising activities (Section 13.d.i).

**The UAB Educational Foundation (UABEF)**

The UABEF exists and operates exclusively for the purpose of, to perform the functions of, or to carry out the purposes of UAB as stated in its Articles of Incorporation, as amended from time to time. While UAB is affiliated with the UABEF, UAB is not financially accountable for it. The UABEF provides funds and certain facilities to UAB for its educational and scientific functions and provides support for UAB athletic programs. For example, the UABEF contributed $5 million in support to, or on behalf of, UAB in 2011, $6.4 million in 2012 and $6.8 million in 2013.

The Fifth Article of the Articles of Incorporation of the Foundation states that the UABEF has a minimum of 13 board members, which shall include four (4) ex-officio members from UAB and one (1) ex-officio member from the University of Alabama System Board of Trustees. The UAB organizational chart indicates the UABEF reports to the UAB President. Further, the President of UAB serves as the President of the UABEF Board. The Vice President for Financial Affairs and Administration, as outlined in Section 8 of the Affiliation Agreement, serves as the principal contact for and liaison to the UABEF in regard services provided by UAB to the UABEF and described more fully in the Affiliation Agreement.

The Affiliation Agreement between the parties (1) further demonstrates the entity’s existence is to benefit UAB and the educational, scientific, research and charitable activities that may be carried out by the University (Section 1); (2) details the extent of the parties’ relationship and the responsibilities of each party (Sections 2 through 8); (3) clarifies the understanding between the parties that each is a separate legal entity (separate corporate existence cannot generally be disregarded for the purpose of liability) (Section 7); and (4) secures the UABEF’s agreement to abide by Board policy in regard to fundraising activities (Section 7.04.a).

**The UAB Diabetes Trust Foundation (UABDTF)**

The UABDTF exists for the sole benefit of UAB for the purpose of supporting any charitable, scientific, educational or research activities undertaken by UAB or by the UAB Hospital related to diabetes. Article III, Paragraph 3.2 of the Bylaws of the Foundation require the UABDTF to have at least five directors, two of which are ex officio members employed by UAB, namely the UAB President and the UAB Vice President for Financial Affairs and Administration. In either case, another officer of UAB will be named as a replacement if either of the named positions ceases to exist.

UAB and the UABDTF are presently working on an affiliation agreement between the parties that will (1) further demonstrate the entity’s
existence is to benefit UAB and the educational, scientific, research and charitable activities that may be carried out by the University; (2) detail the extent of the parties’ relationship and the responsibilities of each party; (3) clarify the understanding between the parties that each is a separate legal entity (separate corporate existence cannot generally be disregarded for the purpose of liability); and (4) secure the UABDTF’s agreement to abide by Board policy in regard to fundraising activities. Execution of that agreement by the UABDTF will require approval by its Board of Directors, which is not scheduled to meet again until December, 2014.

UAB does not anticipate any issues that would preclude the full execution and implementation of the described agreement.

The National Alumni Society of The University of Alabama at Birmingham (Alumni Society)
The Alumni Society exists to promote the welfare and excellence of UAB and to assist in the development and support of a mutually beneficial relationship between UAB and its alumni. Article V, Section 1, Item B.3 of the Bylaws of the National Alumni Society of the University of Alabama at Birmingham authorizes the President of UAB to select three ex-officio directors for the Alumni Society board, as well as two additional members of the board who are also members of UAB’s Administration. Further, the Office of the Vice President for Development, Alumni & External Relations (VPDAE) provides the Alumni Society with personnel and facilities required for its operations as stated in Section 2 of the Affiliation Agreement. The Alumni Society reports to the President through the VPDAE.

The Affiliation Agreement between the parties (1) further demonstrates the entity’s existence is to benefit UAB and the educational, scientific, research and charitable activities that may be carried out by the University (Section 1); (2) details the extent of the parties’ relationship and the responsibilities of each party (Sections 2 through 4, 7 and 8); (3) clarifies the understanding between the parties that each is a separate legal entity (separate corporate existence cannot generally be disregarded for the purpose of liability) (Section 7.02 and 7.04); and (4) secures the Alumni Society’s agreement to abide by Board policy in regard to fundraising activities (Section 7.04.a).

Sources (In Order of Appearance)

[PDF] UABRF Articles and Bylaws (Page 7)
[PDF] UABRF Articles and Bylaws (Page 10)
[PDF] UAB Organizational Chart
[PDF] UABRF Affiliation Agreement (Page 6)
[PDF] UABRF Affiliation Agreement
[PDF] UABRF Affiliation Agreement (Page 5)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 137)
[PDF] UABEF Amended Articles and Bylaws
[PDF] UABEF Affiliation Agreement (Page 4)
[PDF] UABEF Affiliation Agreement
[PDF] UABEF Affiliation Agreement (Page 3)
[PDF] UABDTF Articles and Bylaws (Page 15)
[PDF] Alumni Society Articles of Incorporation and Bylaws (Page 12)
[PDF] Alumni Society Affiliation Agreement
[PDF] Alumni Society Affiliation Agreement (Page 3)
3.2.14

Governance and Administration: Intellectual property rights

The institution's policies are clear concerning ownership of materials, compensation, copyright issues, and the use of revenue derived from the creation and production of all intellectual property. These policies apply to students, faculty, and staff.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Intellectual property rights for the University of Alabama at Birmingham (UAB) are established by the Board of Trustees of the University of Alabama (the Board). Board Rule 509 defines the Patent Policy that, as stated in Section II.C of this Board Rule, is applicable to all faculty, staff, and students. The policy is "a condition of employment and contractual obligation, both while employed and thereafter, of every employee of each campus, including student employees, and a condition of enrollment and attendance and contractual obligation, both while in attendance and thereafter, by every student at each campus."

The administration of this policy has been delegated to the UAB Research Foundation (UABRF). As explained on the Managing UAB's Intellectual Property: From Concept to Commercialization page of the UABRF website:

The UAB Research Foundation (UABRF), a nonprofit 501(c)3 corporation, is the designated intellectual property management organization for the University of Alabama at Birmingham (UAB). Intellectual property can generate monetary value and benefit the public good when it is used to develop products and services. It is the responsibility of UABRF to identify, protect, market to commercial entities, and license intellectual property that is developed by UAB faculty members, employees, and graduate students.

UAB also has a Copyright Policy, which clarifies rights and benefits (individual and institutional) associated with ownership of copyright and applies to faculty, staff, and students.

Intellectual property rights as well as copyright policy are described to faculty in Section 3.9 (Ownership of Intellectual Property Rights (Patent Policy) and Section 3.10 (Copyright) of the UAB Faculty Handbook and Policies. These rights also are summarized for staff members in Section 7.11 (Ownership of Intellectual Property Rights) of the You and UAB Handbook and for students in appropriate handbooks and catalogs, such as the Copyright Policy section of Direction, the UAB student handbook, and several sections of the Graduate Student Handbook (Graduate School Policy Concerning Student Participation in Proprietary Research, Copyright Policy, Computer Software Copying and Use Policy, and Patent Policy).

Disputes about ownership of intellectual between an investigator and UAB are addressed in Section II.D. of UAB's Patent Policy. Specifically:

Any invention or discovery (1) which is the result of research carried on by or under the direction of an employee of a campus of the University and/or having the costs thereof paid from funds provided by, under the control of or administered by a campus of the University, or (2) which is made by an employee of a campus of the University and which relates to the employee's field of work, or (3) which has been developed in whole or in part by the utilization of resources or facilities belonging to a campus of the University, shall be the property of the applicable campus of the University. The applicability of the above stated criteria to any invention or discovery will be determined at the sole discretion of the President of the respective campus of the University or his/her designee. (Emphasis added.)

UAB has a Computer Software Policy that deals extensively with the ownership of computer software and databases created by UAB employees and units. A summary of this policy is included in Section 3.12 of the UAB Faculty Handbook and Policies along with a link to the entire Computer Software Policy (internet access required).

In addition to these policies, which are all accessible in the UAB Policies and Procedures Library (internet access required), the UABRF website (internet access required) has an "Information for Researchers" page with links to relevant Policies and Guidelines, the Materials Transfer Office, information and forms for Disclosing Intellectual Property, information on Releasing Intellectual Property To Researchers, and Frequently Asked Questions for Researchers.

All University employees, as a condition of employment, and all graduate students performing research, are required to disclose to the UABRF any invention or discovery which they have conceived or developed, or which has been conceived or developed under their direction during their employment or enrollment. Upon hire, all new University employees are required to attest to the UAB Patent Agreement acknowledging UAB's Patent Policy and agreeing to abide to its terms and conditions during their employment at UAB. The attestation is completed electronically through the UAB Faculty and Staff Learning System. Graduate students who conduct research are under the direction of faculty who are aware of the policies.

Potential issues or disputes regarding inventorship are addressed at the outset of the IP disclosure process with the required submission of an Intellectual Property Disclosure Form and Revenue Distribution Agreement (internet access required). The Revenue Distribution Agreement clarifies, in the event of multiple investigators, the percentage share of the invention or discovery by each innovator for future use in allocating any revenues generated. This document is signed by each identified inventor, the Department Chair, and Dean.

Also, as communicated on the Frequently Asked Questions for Researchers page of the UABRF website (internet access required),
researchers interested in discussing IP-relevant policies or the UABRF implementation of the policies are invited to contact the UABRF. If a researcher disagrees with the policies themselves, he/she is reminded that the policies are set by the Board and the UAB President, and he/she is invited to submit written requests for policy changes to the Office of the President or Legal Counsel.

Contractual activities handled by the Office of Sponsored Programs, Materials and Transfer Agreement Office, UABRF, and the University Contracts Office are reviewed for intellectual property issues prior to execution. The UAB Extramural Support Checklist, which is required for all proposals to non-UAB entities, requires principal investigators to disclose existing intellectual and/or tangible property.

Identification of property to be used and ownership rights in such property:

1. Allows UAB/UABRF’s rights in UAB’s existing property to be protected,
2. Ensures that UAB uses property owned by third parties in a manner consistent with existing contractual rights and obligations or identifies circumstances where requests for approval for additional rights and uses should be made, and
3. Assists UAB in negotiating contractual terms that are realistic, appropriate to the facts and circumstances of the proposed study, and maintain an acceptable risk tolerance.

The negotiation of IP terms and conditions ensures the policies of the institution are met and mitigate potential disputes.

Sources (In Order of Appearance)

[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 261)
[PDF] Research Foundation - Managing UAB’s Intellectual Property
[PDF] Copyright Policy
[PDF] Faculty Handbook and Policies (Page 49)
[PDF] You and UAB Handbook (Page 33)
[PDF] Direction Student Handbook (Page 282)
[PDF] 2014-2015 Graduate Student Handbook (Page 34)
[PDF] Patent Policy
[PDF] Computer Software Policy
[PDF] Faculty Handbook and Policies (Page 53)
[URL] Policies and Procedures Library
[URL] UAB Research Foundation Website
[PDF] Research Foundation - Information For Researchers
[PDF] Research Foundation - Materials Transfer Office
[PDF] Research Foundation - Disclosing Intellectual Property (IPD)
[PDF] Research Foundation - Releasing Intellectual Property To Researchers
[PDF] Research Foundation - Frequently Asked Questions (FAQ)
[PDF] Patent Agreement
[PDF] Extramural Checklist - IP
3.3.1

Institutional Effectiveness
The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.1 educational programs, to include student learning outcomes
3.3.1.2 administrative support services
3.3.1.3 academic and student support services
3.3.1.4 research within its mission, if appropriate
3.3.1.5 community/public service within its mission, if appropriate

Judgment
☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☑ Not Applicable

Narrative
See individual sections that address each area.
3.3.1.1 Institutional Effectiveness: Educational Programs

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.1 educational programs, to include student learning outcomes.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Program Assessment (WEAVE)

At the program level, measures and data inform program and curriculum development and contribute to improvement of student learning outcomes and program effectiveness. UAB's current system for documenting program and student learning outcomes and assessment results dates from 2007, with the implementation of WEAVE, an online database used to document and track annual assessment data from all academic and administrative units on the UAB campus. The WEAVE database is administered through the Provost's Office, with designated personnel in each school and administrative unit responsible for data entry for their respective areas. Entries are audited for completeness at the end of the annual reporting cycle by the Provost's Office. The WEAVE database is structured to allow individual units to document their mission/purpose, link goals and outcomes to University strategic goals and general education objectives, document their measurements for assessing performance, and report performance targets and actual results. A key benefit of WEAVE is the Action Plan component, which is used to document planned and active responses to areas where performance is below target or improvement is desirable, including specifying responsible individuals and needed resources to implement the plan.

Currently, all academic programs on the UAB campus have WEAVE entries. The WEAVE inventory is organized by departments within the eleven academic units (College of Arts and Sciences; the Graduate School; and Schools of Business, Dentistry, Education, Engineering, Health Professions, Medicine, Nursing, Optometry, and Public Health) and the Joint Health Science Departments. All academic programs document annual assessment activity, including one or more student learning outcomes, although they are not required to include the full scope of their assessment activities in WEAVE. For example, the engineering baccalaureate degree programs have a minimum of eleven student learning outcomes required by the Engineering Accreditation Commission of ABET but only include three to five of them in WEAVE.

Outcomes, measures, and targets documented in WEAVE are intended to evolve as programs improve in targeted assessment areas. Challenging measures and those pivotal to assuring program effectiveness may continue indefinitely. Other measures may be modified by refining the focus or by raising the performance target. If findings do not provide actionable information or if the target is consistently met, the measure may be terminated at the end of a review cycle. Importantly, programs have improved their assessment methods over time and are accumulating longitudinal data for trend analyses. This data resource has been useful for professional programs undergoing accreditation reviews. For example, the M.S. in Health Administration (M.S.H.A.) program in the School of Health Professions elected to collect data on a rather large number of measures that are required for reporting to the program's accrediting commission. Although most targets are met consistently and few plans have been required for corrective action, the database has enabled consistent program assessment by the three administrative directors who have served between 2007 and 2014. The 2012-2013 Detailed Assessment Report shows the scope of assessment for the M.S.H.A. program.

Program Outcomes Assessments and Findings

The University offers programs at the baccalaureate, master’s, doctoral, and post-doctoral levels. Most programs are delivered in a traditional campus-based format, where students are predominately full-time enrolled, particularly at the graduate level and in professional schools. These programs constitute the 140+ units listed on the WEAVE inventory. A robust sample of WEAVE outcomes assessment data, Detailed Assessment Reports (DARs) for a program from all departments in all schools (except for Arts and Sciences, where 10 departments were sampled), including all degree levels in each school, were evaluated. Sampled programs are listed in the table below. The summary reports provided are from the most recently completed cycle (Academic Year (AY) 2012-2013) but include annual review findings from 2007, the first year of data capture in WEAVE, through AY 2012. With this reporting format, changes in outcomes from year to year and over the span of years are easily reviewed and help inform program action planning.
<table>
<thead>
<tr>
<th>School / College</th>
<th>Sampled Programs</th>
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<tbody>
<tr>
<td>Arts &amp; Sciences</td>
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<td>Criminal Justice, BS, MSCJ</td>
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<td>Forensic Science, MSFS</td>
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<td>Applied Mathematics, PhD</td>
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<td>Marketing, BS</td>
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<td>Counseling, MA</td>
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<td>Educational Leadership, EdD (Joint)</td>
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<td>Health Education, BS, MAEd, PhD</td>
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<td>Engineering</td>
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<tr>
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<td>Vision Science, MS, PhD</td>
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<td>Public Health</td>
<td>Biostatistics, MS, PhD</td>
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<td>Genetics, PhD</td>
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<td>Microbiology, PhD</td>
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</table>

Although the full DARs are provided, a few narrative discussions are provided to illustrate the types of student learning outcomes (SLOs), measurement approaches, and findings. Examples are drawn from traditional campus-based programs at different degree levels, professional degree programs, and online and blended format programs.

**Traditional and Professional Program Examples**

**Biology Programs (College of Arts and Sciences)**
The DAR for the B.S. in Biology program in the College of Arts and Sciences illustrates use of the full functionality of WEAVE and includes the Department’s mission and linkages to the University’s general education curriculum and strategic plan. The bachelor’s program’s assessment plan includes three student learning outcomes (SLOs): 1) fundamental knowledge in biology, 2) practical laboratory and technical skill development, and 3) scientific communication skills. Each of the SLOs has multiple associated measures, such as the major field test and the capstone experience, each with a pre-established performance target. Actual performance data for each year is compared to the target and assessment findings are documented and rated as ‘met,’ ‘not met,’ or ‘partially met.’ As shown on the report, Measure 4 “Laboratory Experience in Biology,” associated with SLO 2, did not meet the performance target of 100%, although actual performance was above 90% for five of the six years. When the actual performance dropped significantly in FY 2012-2013 to 76%, the Department’s Curriculum Committee was responsible for recommending corrective action, including consideration of curriculum modifications. In the case of Measure 5, “Experience in Research,” the target of 40% was exceeded by a large margin and was increased. As a comparison by degree level, the Biology master’s program also uses SLO 1 (fundamental knowledge in biology) but uses different measures of performance, such as the candidacy qualifying exam and thesis defense, both of which are assessed using rubrics included on the WEAVE site. SLO 1 for the doctoral program is restated as “Advanced knowledge of biological concepts,” measured by the qualifying exam for admission to candidacy and evaluation of teaching performance, also assessed with a published rubric.

Criminal Justice Programs (College of Arts and Sciences)
DARs are provided for both bachelor’s and master’s programs. The Department uses a major field test to measure the undergraduate student learning outcome of “mastery of core knowledge in substantive areas of criminological theory, research methods/statistics, policing, law, corrections, and ethics.” This SLO is linked to several University general education/core curriculum requirements. The first cohort of students assessed with the major field test was in FY 2009-2010, and the student average was the 57th percentile of compared national scores, just below the target of 60th percentile. The target was met for FY 2010-2011, but scores dropped back to the 58th percentile in FY 2011-2012 and declined further in FY 2012-2013. Action plans established in the 2010 and 2012 cycles included curriculum modifications requiring incoming students to complete an additional criminological theory course and a comprehensive item analysis of the major field test. Students completing the additional theory course will complete the major field test in FY 2013. Results of the 2013-2014 assessment will be reviewed before additional curriculum changes are considered. Student scores in content sections of the test are compared to national scores as well as the overall score. Master’s level students are expected to “identify, apply, and critique criminological theory,” a higher level SLO than applied to undergraduate students. This SLO is assessed through a written assignment scored by a standard rubric. The target of 80% of students scoring at the proficient level was met for FY 2010-2011, but only partially met in subsequent years, due in part to a small number of students enrolled (fewer than five students in each cohort).

Early Childhood Education (School of Education)
This Early Childhood Education Bachelor of Science program has identified 11 SLOs that are assessed with 23 measures, most of which are described as “artifacts,” i.e., student-created work products or faculty assessments. Artifacts assessed include teaching and grading plans, observation forms, and state teacher evaluation forms. Performance targets are set at 90% achievement and have been met consistently. An action plan is in place that will align the standards from the Educate Alabama Continuum for Teacher Development with the SLO assessments.

Management Programs (School of Business)
The B.S. in Management program has associated its SLOs with the Association to Advance Collegiate Schools of Business standards as well as with the University’s general education and core curriculum requirements, thus archiving information useful for programmatic and school accreditation. The program tracks two SLOs: 1) understanding specialized concepts and tools and 2) applying specialized knowledge and skills. SLO 1 is measured using pre-and-post tests administered by faculty with a target of 70% of students achieving a score between 70% and 84%. This target has been met for the four years of assessment reported, although fewer students exceeded the target in FY 2012 than in previous years. SLO 2 is measured by performance on capstone course assignments, using the same target at SLO 1. The target was met for all four years. The Master of Business Administration program DAR shows higher level SLOs: 1) integrate functional strategies to solve business problems; 2) using critical thinking skills to solve business problems; 3) recognize skills and characteristics of leadership; and 4) understand the complexity of operating in a global business environment. The SLOs are assessed by student performance on individual or team-based projects. Targets are set at 70% of students performing at 85% or better. These targets were met for the initial assessment of these SLOs in FY 2012-2013. These targets are consistently met and the few ‘first-time’ test failures are successful on re-takes.

Dentistry (School of Dentistry)
The D.M.D. program SLOs (dental science and clinical dental knowledge) are measured by student performance on the National Board Dental Examination and program competency assessments. Achievement targets are set as UAB D.M.D. average scores above the national average and fewer failures as a percentage of students taking the examination than the national average of failures. While D.M.D. program goal for passage rate was met, the Department recognized the importance of each student passing these examinations. They instituted an action plan in 2012-2013 of requiring peer tutoring for any student who does pass Part I or II the first time.

Doctor of Philosophy (Ph.D.) in Interdisciplinary Engineering (School of Engineering)
The mission of the Ph.D. in Interdisciplinary Engineering program is to “educate students at the doctoral level who are immediately productive,” clearly aligning with the School of Engineering’s mission. Students are also being trained to excel in interdisciplinary research for the benefit of society. The program identifies four SLOs in the WEAVE database which are measured through a dissertation defense, time to graduation years, and by the number of presentations and publications student contribute during their tenure. For instance, SLO 4 for this program reads that graduates shall be able to publish technical papers in acceptable journals, which aligns with the program and school mission for benefiting society and immediate productivity. Achievement for this SLO is measured by the number of student publications at graduation. The target rate of publication for graduates is at least three referred conference or archival journal papers published while matriculating for their doctorate, one of which must be published in an archival journal. The target for this SLO was met for FY 2010-2011. The four students that graduated published six publications in the archived journals and four publications in refereed conference proceedings. Although it was not measured for FY 2011-2012 or 2012-2013 (because no doctoral students graduated), progress was monitored annually. Students in the program were publishing at a rate that indicated they would reach the target prior to graduation. These publications are also usually scored with a rubric. Plans for improvement for this outcome are ongoing.
with discussions among faculty for improving and enhancing graduation requirements associated with the program across the disciplines.

**Online, Distance Accessible, and Blended Program Examples**

UAB offers numerous programs that are delivered in alternate modes, such as online, blended, and distance accessible formats to provide degree access to students limited by factors such as location, family and/or work obligations, schedule conflicts. This accessibility focus supports the University's prior strategic goals to transform learning for undergraduate and graduate education, as well as improve the living/learning/working environment for these students. SLOs are assessed in the same way for all programs irrespective of the delivery mode. The UAB Online website lists nine bachelor's degrees, two doctorate, three Ed.S. degrees, and 42 master's degrees (internet access required) delivered in online, distance accessible, or blended format.

To provide an unbiased sampling of assessment in UAB's distance programs in this report, the first program listed for each school on the UAB Online website from the bachelor's, doctoral and Ed.S., and master's degrees webpages was selected to provide examples of program-level outcomes assessments. Examples of fully online and blended programs are provided to represent each degree level and mode of delivery.

**Bachelor of Science (B.S.) in Accounting (School of Business)**

The Bachelor of Science in Accounting (B.S.A.) is offered as an on-campus and a fully online program. The student learning outcomes are identical, and the data is not separated for on-campus and online students. The Department identifies five SLOs supporting the Department’s and School's missions as shown in the attached WEAVE DAR Report. Student achievement of the SLOs is measured via projects, course assignments, cases, and standardized exams and the Certified Public Accountants' Examination (CPA). The CPA examination and continual review of outcomes and assessments serve as measures for program success.

One SLO for the program is "interpret compliance tax issues." The measure by which the B.S.A. program measures students' mastery of this SLO is through their ability to prepare and interpret accounting documents demonstrated through standardized tests and cases. The target expectation for meeting this objective is identified in the WEAVE DAR as "at least 70% of students assessed will demonstrate proficiency with a target score of 70-84%." For the AYs 2010-2011 and 2011-2012, these targets were met with 80% of students exceeding (55%) or meeting (25%) the achievement target. However, the target achievement according to assessment results for AY 2012-2013 were not met, with only 45% of the students assessed meeting and none exceeding the achievement target. Accounting faculty planned to monitor and collect data from AY 2013-2014 to determine possible causes for the turn around and potential interventions to reverse the trajectory again towards continual improvement. The faculty will also routinely monitor objectives and assessment methods.

Since this program is within a professional school, another measure of achievement for the program is CPA Examination performance. In 2009, the pass rate for UAB students was 30.2%. Global averages for all peer institutions were 32.13%. Therefore, one targeted improvement for AY 2009-2010 was to improve the program graduates' pass rate on the CPA to surpass the global average, with a target pass rate of 40%. Reports from the 2010-2011 year provided in WEAVE indicated achievement of this target with a first time pass rate for B.S.A. students of 40.1%. To spur momentum towards a trend of higher pass rates, faculty determined that monitoring the graduates going forward was necessary. Additionally, they planned to routinely review objectives and assessment methods to target shortfalls revealed in the assessment, which became part of the action plan for the next three years. The numbers indicate a trajectory towards continued improvement as the pass rate for students in the B.S.A. program continued to climb in AY 2011-2012 and 2012-2013 at 45.6% and 48.3%, respectively. The faculty commitment to continued improvement is evidenced by an increase in the target goal for CPA pass rates in spring 2014 to 45%. The action plan for continued improvement remains to monitor graduate performance on the CPA examination so that intervention can occur as needed.

**Educational Specialist (Ed.S.)**

The Educational Specialist degree offered by the School of Education is fully online. The program's mission of "preparing teacher leaders who are change agents within their respective learning communities" supports the School of Education's mission. The program has seven SLOs, listed in the WEAVE Detailed Assessment Report. These SLOs are measured through projects, research papers, a written examination, and direct supervision. For instance, the Ed.S. program’s SLO 7 reads that students will demonstrate mastery by "effectively designing and defending a research proposal." The Oral Presentation and Defense Rubric is used to assess the research proposal that students must present to a faculty committee. The target for demonstrated achievement of this objective for AY 2010-2011 and 2012-2013 reads that at least 90% of students will successfully defend their research proposals to a faculty committee. Findings in the Ed.S. DAR indicate mastery for this SLO at or above the targeted rate with students successfully defending proposals at rates of 100% for AY 2010-2011 and 90% for the two subsequent years.

All SLOs for the Educational Specialist degree must be demonstrated through artifacts. Each artifact is evaluated using developmental rubrics that assess growth over time and experience, with a continuum of levels ranging from "Unacceptable" to "Emerging Advanced". Students who do not achieve the targeted levels of performance on artifacts in a course must meet one-on-one with their instructor to discuss ways to improve performance. Students are provided opportunity to revise and resubmit the artifact. A failed second attempt results in a repeat of the course or expulsion from the program. The School's Curriculum and Programs Committee reviews and critiques all proposed programmatic revisions to ensure changes meet specified standards and align with UAB's mission.

**Master of Arts (M.A.) in Sociology**

The College of Arts and Sciences (CAS) offers a Master of Arts in Sociology as a blended format program, which means that at least 50% of the courses are delivered online. An excerpt of the College's mission reads:

> ... to ensure that each student leaves UAB with the tools they need to succeed in an expanding and increasingly complex world, the college is dedicated to helping them develop the following skills and competencies: ethical and moral reasoning, the scientific method, communication, cultural competence, confidence in the face of complexity.

The M.A. program offers two degree plan options. Plan I is essentially entrance into the Ph.D. in Medical Sociology program, requires a thesis, and has a separate mission. Plan II has an applied focus and culminates in a six-hour faculty-directed community capstone...
The mission for this program is to “provide an applied MA option consisting of strong disciplinary training, along with internships and research experience, to prepare students for careers in business, non-profit organizations, government agencies, and the continued professional development of teaching careers.” The program provides five SLOs, listed in the WEAVE Detailed Assessment Report, which clearly contribute to the mission of the College, particularly in supporting student achievement and preparation for their careers after graduation. SLO 2, for example, requires students to become proficient at data analysis, which is measured in two ways. First, an alumni survey in which graduates must respond as to the level in which they agree that the program curriculum prepared them for analyzing data. The targeted achievement goal for this SLO was identified as “80% of graduates with a master’s degree in sociology will agree that the curriculum prepared them very well or extremely well to conduct statistical analysis and for computer skills, and 80% will rate the statistics/methods component of the program as ‘good’ or ‘excellent’.” The targeted level of achievement was exceeded with 95% of students rating the statistics and methods component of the program in the ‘good’ or ‘excellent’ category in the AY 2011-2012 and 100% of alumni rating statistics and methods as good or excellent in AY 2012-2013.

The second measure for determining achievement of proficiency with data analysis for students in the M.A. in Sociology program is a portfolio showcasing skill development of best work, with a targeted achievement level of “100% of graduates of the MA program will be proficient in data analysis, including the use of quantitative (statistical) analyses software packages and interpretation of findings.” Data was not reported for AY 2011-2012; however, the target was met for AY 2012-2013.

**Master of Nursing Science**

The new two-year Master of Nursing Science curriculum plan was developed to meet all current standards associated with advanced practice nursing, including the Essentials for Master’s Education in Nursing established by the American Association of Colleges of Nursing. The curriculum plan includes a standardized core and support courses for all specialty tracks within the M.S.N. program to ensure all students have the same foundation. The new curriculum is also cohort-based, and the program of study is designed to ensure that cohorts progress through the curriculum in the same way, building from foundational courses to their application in the clinical sequence courses. The program of study thus requires students to take a minimum of six credit hours per semester to progress through the program; this change will improve progression and timely graduation rates. The new curriculum is also designed to ensure high certification exam pass rates. The new curriculum was implemented in Fall 2013 and will be evaluated following AY 2014-2015.

The M.S.N. program was selected from the WEAVE database as a second example of a blended format program. The WEAVE Detailed Assessment Report for the M.S.N. program shows three SLOs supporting the School’s and program’s missions. Student achievement for these SLOs is measured via student performance on national certification exams, program comprehensive exams, and a professional portfolio. Program effectiveness is also evaluated via the national certification examination scores and the program’s comprehensive exams, as well as alumni surveys.

SLO 3 “Achievement of High Standard of Professionalism in Advanced Nursing Practice,” for example, is measured via the professional portfolio. The targeted achievement rate is “90% of M.S.N. students will achieve a satisfactory or above rating on their professional portfolios for the culminating course or residency,” which was surpassed for AY 2010-2011, 2011-2012, and 2012-2013 with 100% of students earning at least a satisfactory rating. The action plan for this standard is for faculty to continue monitoring portfolios, particularly for specialty tracks, to assure student performance is continuing the trend.

Measurement of achievement for the program in regards to performance on national certification examinations identified a target of 90% of graduates from the nurse practitioner specialty track passing the appropriate certification exam required for professional practice. For AY 2010-2011, this target was met with 90.3% of students passing the certification exam. Faculty implemented more rigorous standards, such as improving the approaches used for comprehensive examination preparation to aid graduates in achieving a high score on national certification exams and establishing a prerequisite for the final residency course, a passing grade on the Objective Structured Clinical Exam. Results in 2011-2012 still fell slightly short of the target at 89.5%. In addition to these ongoing measures, faculty raised the target pass rate from 90% to 95% and proposed a two-hour synthesis course focusing on certification exam preparation during the student’s final semester. Results in 2012-2013 show a partially met target with four of the nine reported tracks on the certification exams achieving pass rates that exceeded the benchmark.

To ensure improvement in those tracks that did not meet the target, the M.S.N. leadership team met to evaluate the curriculum of the program. Various certification pass rates and agency requirements, student ratings of instruction survey scores and comments, and Educational Benchmarking Institute graduate data were reviewed. The team discovered inconsistencies in program hours for various tracks. A uniform 44 hour program for all tracks was established. Numerous changes were implemented such as threading content throughout the curriculum, consistency in course descriptions, frequent communication with students utilizing multiple methods, a new orientation requiring additional on-campus visits, and implementation of a cohort approach in which courses must be taken in sequence with pre- and co-requisites.

**Sources** (In Order of Appearance)

- [PDF] WEAVE Program Inventory
- [PDF] MSHA Assessment Report
- [PDF] CAS-ANT(B)
- [PDF] CAS-BY(BMD)
- [PDF] CAS-CH(BMD)
- [PDF] CAS-COM(M)
- [PDF] CAS-ENG(BM)
- [PDF] CAS-JUSTSCI(BMM)
### 3.3.1.2 Institutional Effectiveness: Administrative Support Services

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

#### 3.3.1.2 administrative support service.

**Judgment**

- Compliance □  Partial Compliance □  Non-Compliance □  Not Applicable

**Narrative**

As represented in the UAB Organizational Chart (effective 1-Sep-2014), administrative support services units operate in a dynamic environment that crosses all mission areas of this entrepreneurial university. These units must be responsive and flexible and continually evolve to meet changing demands. At UAB, administrative support service units facilitate the institution’s educational, research, clinical, and service mission as outlined in UAB’s previous and current Strategic Plan (internet access required) that is being finalized.

**Administrative Support Services Assessment Processes**

The processes of identifying expected outcomes, assessing the extent to which these outcomes are achieved, and providing evidence of improvement based on analysis of results vary with the size and capabilities of a unit, but all are predicated on a careful analysis of missions and goals that support the attainment of immediate, intermediate, and/or long-term objectives. Larger units use tools such as WEAVE, a hosted, web-based assessment and planning management system, and formal survey instruments to establish goals and process improvements (e.g., The Office for the Vice President for Financial Affairs and Administration WEAVE Detailed Assessment Report). Smaller units are closely involved with their faculty, student, and staff stakeholders through regular meetings which allow these units to assess and improve services in response to feedback.

The Provost and Vice Presidents each meet with the President annually in a planning and evaluation session. Goals for the upcoming year are agreed upon, and progress on the goals from the previous year are reviewed. Links are provided below to each of the following senior administrative officers’ self-evaluations for 2013:

- Provost
- Vice President for Development, Alumni, and External Relations
- Vice President for Equity and Diversity
- Vice President for Financial Affairs and Administration
- Vice President for Information Technology
- Vice President for Research and Economic Development
- Senior Vice President and Dean of Medicine

A self-evaluation is not available for the Office of the Senior Vice President and Dean of the School of Medicine because that office was in leadership transition at that time.

The following section provides a representative sample of outcomes identification, assessment, and resultant action plans that drive the respective continuous improvement efforts of the Offices of the Provost and Vice Presidents.

**Office of the Provost**

The units in the Office of the Provost (internet access required) further the Office of the Provost Mission and Vision by supporting students, faculty, and staff to pursue their academic endeavors and advance new initiatives in education, research and service. The Provost’s Office units provide the academic and administrative leadership needed to attain excellence and instill the scholarly values integral to UAB’s mission as a top-tier research university.

Within the Provost's office, the Vice Provost for Administration and Quality Improvement provides leadership for academic administration, strategic planning, enrollment management, finance, budgeting, and student support operations. The Vice Provost for Student and Faculty Success oversees the Office of Student Life, and several support units that focus on student and faculty development, retention, and enrichment. The Office of the Provost Organizational Chart lists the units that comprise the Office of the Provost.

Outcomes assessment for administrative support services units within the Office of the Provost focuses on improving services for students and faculty. Prior to the 2013-2014 academic year, the Office of the Provost had identified objectives for assessment and improvement in the six priority areas of Excellence in Undergraduate Education, Excellence in Graduate and Professional Education, Excellence in Research and Scholarship, Excellence in Service to the Community and State Increase Financial Support, and creating a Positive Work Environment. Scorecard metrics were collected to track specific outcomes in each area and were used by respective university units to measure the extent to which those outcomes subsets were achieved and to develop improvement action plans. Many administrative support services within the Office of the Provost have utilized the WEAVE online assessment tracking system to report their respective outcomes assessment practices (e.g., Enrollment Management WEAVE Detailed Assessment Report).

In 2013 when a new President was appointed, the Office of the Provost and its constituent units embarked on a strategic planning process to outline new goals, expected outcomes, and target measures for the next several years. Beginning Fall 2014, the priority
goals of increasing enrollments, optimizing resource allocations, increasing student success, enhancing faculty success, and improving national and international reputation will drive outcomes assessment for the Office of the Provost and its constituent administrative support services units. The newly-developed strategic plan for the Provost’s Office is attached. Expected outcomes and objectives, assessment process, and the improvement made in the following areas of the Provost's Office are discussed below.

- Administration and Finance
- Center for Teaching and Learning
- e-Learning and Professional Studies
- Enrollment Management
- Faculty Affairs
- Institutional Effectiveness and Analysis

**Administration and Finance**
The Administration and Finance unit within the Office of the Provost provides administrative and financial support for units reporting to the Provost. The department reports to the Vice Provost for Administration and Quality Improvement as shown in the Provost Administration and Finance Organizational Chart. The unit is comprised of a Director, Administrative Associate, a Fiscal Associate, a Financial Officer III, and an Administration and Fiscal Officer for Projects. The office’s vision, mission, and goals support the Office of the Provost and the UAB Strategic plan.

**Objectives/Expected Outcomes**
Annual objectives and expected outcomes are updated and established based on feedback from units reporting to the Provost as well as from school/college fiscal officers. Objectives are tracked by means of a work plan, and an annual summary is provided to the Vice Provost for Administration and Quality Improvement (see Goals for 2011, 2012, and 2013). The unit’s assessment activities, detailed below, inform the feasibility of and guide unit objectives.

**Assessment Activities**
Assessment activities focus on improving support service efficiencies. Previously, fiscal and administrative functions were maintained at individual department levels within the Provost’s office. As a result of restructuring in the Office of Provost in 2010-2011, responsibility for fiscal and administrative review and reconciliation was consolidated into Provost Administration and Finance, which allowed centralization of transaction oversight and reconciliation.

Active communications with the Fiscal Officers and Administrative Group support continuous assessment by streamlining communications with all School and Library Fiscal Officers. For example, as demonstrated in the 2014 School Fiscal Officers/Administrators Meeting agenda, attendees present issues and suggestions directly to the Vice Provost, and initiatives and plans are shared with members. Employees of other units are routinely invited to participate and many recommendations from the group have been implemented.

**Outcomes and Improvements**
One example of quality improvement outcomes that have resulted from these assessment meetings is a change in the expenditure review process. Expenditure Review Services (UAB Controller’s Office) reviews all payment requests submitted by all schools and units. School fiscal officers had noted that an increasing number of requests were rejected due to documentation deficiencies and/or improper request type. These discussions resulted in the adoption of an Expenditure Guideline Matrix which provides better documentation guidance for more efficient submission of payments. This matrix is now under update to capture additional sample data for further use as a training tool.

Another example of an improved practice based on outcomes assessment relates to the entertainment guidelines update. Fiscal officers expressed a need to streamline review of Pre-event Approval forms, review current entertainment guidelines, establish development funds that better meet needs, and create fund sources for student activities. Current guidelines were reviewed and processes for development funding were revised, and a new student activity account was approved.

**Center for Teaching and Learning**
UAB provides ongoing faculty development within the domains of teaching with technology and effective teaching practice. The Center for Teaching and Learning (CTL) (internet access required). Following the introduction of a new Vice Provost for Student and Faculty Success in January 2011, high-level discussion began regarding approaches to enhancing faculty development opportunities and integrating academic technologies more seamlessly into faculty efforts. The Office of the Vice President for Information Technology and the Office of the Vice Provost for Student and Faculty Success agreed in August 2011 to create a joint venture that would become the UAB Center for Teaching and Learning. As presented to the UAB Faculty Senate, this partnership brought together instructional technology and teaching practice to promote learning through a commitment to pedagogical best practices, appropriate and effective use of technology, and innovative collaboration. The following representative objectives, measures, and outcomes for the CTL highlight the improvements that have been made at UAB in faculty development initiatives relative to improved pedagogical practices.

**Instructional Technology Unit Objectives and Expected Outcomes**
The Instructional Technology unit provides a technology-supported education system and services that contribute to the strategic mission of the University, to the quality of education, and to the learning outcomes of UAB staff and students. An objective of this unit is to support a suite of academic technologies that UAB faculty and instructors can use in blended environments. Additional information on personnel, supported technologies, and programming is provided in CTL Instructional Technology Positions.

**Instructional Technologies Unit Assessments**
An initial assessment of CTL activities was conducted. Following formation of the CTL, several new approaches were added.

**Instructional Technologies Unit Outcomes and Improvements**
The unit added a multimedia development position and shifted its focus of activity from tool use to tool application to specific efforts and teaching environments. Specific information about technologies available in the CTL are described in the CTL Faculty Teaching and
Support Facilities report.

Pedagogical Development Objectives and Expected Outcomes
The pedagogical/teaching practice component of the CTL was initiated in May 2012 with the objective of equipping faculty to be excellent teachers, guiding them to enhance student success in their classrooms, and facilitating instructional innovation.

Pedagogical Development Unit Assessments
An assessment of faculty needs was conducted through a series of meetings.

Pedagogical Development Outcomes and Improvements:
Outcomes include the following:

1. A two-day course on fundamentals of instruction and course management for new teaching faculty was implemented.
2. An effective teaching practice certificate curriculum with required and elective topics was developed.
3. Individual consultation for unique needs and mentoring was initiated.

Center for Teaching & Learning Programming Objectives
CTL activities continue to grow in large part by involving experienced faculty across the campus to give presentations and demonstrations on a wide range of topics such as learning gamification, Team-Based Learning, simulation for learning, social media for the classroom, rubrics for design and assessment, emerging images for engagement, and metacognition of learning. CTL programming event evaluations indicate that these activities have been well-received by faculty members. Following review of common programs and services, feedback from a focus group consisting of a broad cross-section of UAB faculty and staff (conducted at the annual UA System Scholars Institute), and input from the ACC, a set of seminars, workshops, demonstrations, and information sessions on a variety of academic technologies and related topics were scheduled for the Center’s first year, including a new faculty orientation, teaching practice and effective teaching cohort programs, digital literacy seminar series, and seminars to support faculty interpretation and use of IDEA student survey data.

1. The New Faculty orientation was initiated in August 2012 and brought together faculty from each school/college for a quick course in teaching practice and teaching technology. The program was adjusted between years one and two to incorporate participant feedback. The most significant changes were:
   2. Basic LMS support sessions were offered prior to the program
   3. The length of the program was reduced from 16 to 12 hours
   4. Teaching practice and teaching technology components were made more distinct
   5. Additional information on the functional aspects of working at UAB was introduced
   6. QEP theme and goals were explained along with ways to access additional QEP-related resources
   7. Research support tools were created to enhance faculty opportunities and support collaborative efforts
   8. Key aspects of FERPA regulations and safe environment policies were presented by representative from university office of legal counsel
   9. A presentation on the method of flipping/inverting a course was presented by an experienced UAB faculty member who had used the method with success
   10. A model of interprofessional simulation for learning and related additional campus resources was presented

Center for Teaching and Learning Programming Assessment
An Academic Advisory Council (AAC) (internet access required) to the CTL was formed with representatives from each of the ten UAB schools, Lister Hill and Mervyn Sterne Libraries, the Office of the Vice President for Information Technology, and the Office of the Vice Provost for Faculty and Student Success. These AAC meetings provide a channel for collaboration, feedback, and guidance between academic units and the CTL. This includes guidance to Instructional Technology (related to technologies) and to Faculty/Student Success (related to pedagogy and best practices) that could be recommended for campus-wide adoption in both the online and classroom learning environments.

Based on recommendations from the AAC, the Instructional Technology Director conducted an evaluation of similar centers across the U.S. to develop benchmarks for determining an optimal organizational structure, level of technology, and other capital resources, and staffing, along with identification of common programming efforts that were well-received by faculty.

Outcomes
Following review of common programs and services, feedback from a focus group consisting of a broad cross-section of UAB faculty and staff (conducted at the annual UA System Scholars Institute), and input from the ACC, a set of seminars, workshops, demonstrations, and information sessions on a variety of academic technologies and related topics were scheduled for the Center’s first year, including a new faculty orientation, teaching practice and effective teaching cohort programs, digital literacy seminar series, and seminars to support faculty interpretation and use of IDEA student survey data. Outcomes assessment of these initial CTL objectives are discussed below.

eLearning and Professional Studies
Recognizing the need to grow enrollments and provide greater access for students, the UAB Division of eLearning and Professional Studies (eLPS) was established on February 8, 2013 by the Board of Trustees of the University of Alabama to develop innovative, totally online degree and certificate programs to meet the needs of untapped, niche markets. eLPS is the UAB administrative unit that partners with all schools to identify infrastructure and/or policy needs and provide leadership in continual improvement of online and blended educational programs at the enterprise level. eLPS is frequently referred to as "UAB Online," which is the name given to the overarching brand to highlight existing online degree programs and to serve as a facilitator for the development of new professional and interprofessional initiatives in distance education. An aggressive strategic planning and outcomes assessment process identified goals and established metrics which guide the eLPS’s campus-wide leadership in four prioritized areas:

1. Administration of campus-wide, quality assessments of totally online and blended educational programs for continual improvement,
2. Development of innovative, totally online and blended degree and certificate programs which serve untapped, niche markets and produce increased enrollment and new revenue,
3. Identification of existing UAB courses and programs which can serve largely untapped, niche markets and their conversion into online delivery formats, and
4. Development of a robust portfolio of new, unique professional study opportunities for non-degree seeking adults.

**Strategic Planning Process**

Once established, the Division of eLearning and Professional Studies (eLPS) embarked on a robust assessment and strategic planning process designed to create a roadmap for the next five years. Clarus Consulting Group, a local provider with an established UAB relationship, facilitated a planning process that gained broad input from UAB Online stakeholders.

- **Steering Committee.** The UAB President and Provost selected twelve leaders from across the University to serve on the Strategic Plan Steering Committee. The committee met on June 22, 2013.
- **Full Day Retreat.** The Steering Committee, along with approximately 75 stakeholders, including four representatives from each of the schools, participated in a full-day planning retreat on September 30, 2013.
- **Stakeholders’ Assessments**
  - Interviews: Stakeholders responded to a series of eight questions that addressed the topics of branding, culture, strengths/opportunities, challenges, priorities for the future, and funding/revenue.
  - Focus Groups. Three focus groups (Instructional Designers Consortium, Undergraduate Academic Program Review Committee, and the Graduate Council Advisory Committee) participated in face-to-face interviews. The UAB Online Strategic Plan Summary Report was created and distributed in October 2013.
  - Online Survey. Clarus Consulting Group developed an online survey to gather additional feedback from any interested stakeholder.
  - Action Plan. The assessments and feedback led by the Division in the summer and early fall of 2013 culminated in an Online Education Strategic Plan, which included objectives and performance indicators.
  - Final Steering Committee Meeting: On October 14, 2014, the committee reviewed the draft Strategic Plan and discussed strategies for roll-out of the Plan. Implementation began in January 2014.

**Assessments of Totally Online and Blended Educational Programs**

In its first year, eLPS focused its efforts almost exclusively on putting in place an “integrated, institution-wide” structure and assessment process for continuous improvement in online education. (Progress from the Division’s first six months of operation are provided.) Key to continuous improvement is continual assessment and outreach to stakeholders to ensure that students, staff, faculty, and executive leadership have input to and ownership in program development.

The Executive Director is a member of the UAB Deans’ Council. eLPS’s staff collaborates regularly with deans, department chairs, individual faculty members, Information Technology (IT) Services, and the CTL. (CTL and eLPS roles and responsibilities are provided.)

**Outcomes**

Specific milestones and completed initiatives in the inaugural 15 months of eLPS are described below:

- **Baseline Assessment and Quality Improvement Plan.** In March 2013, an external review and needs assessment provided recommendations for quality improvement in the following areas:
  - Critical institutional policies for online education
  - Lean organizational structure
  - Academic technology support
  - Quality assurance process for online learning and program review
  - Online accessibility and ADA compliance
  - Military recruitment and retention strategies
  - Faculty and Student support
  - State authorization requirements
  - Regional re-accreditation

- **Academic Advisory Council.** In April 2013, a campus-wide Online Academic Advisory Council (AAC) was formed to advise the Executive Director on broad, institution-wide issues related to online education quality and enrollment growth, academic opportunities, and infrastructure and technology needs. The Council held its inaugural meeting on May 3, 2013. The Council meets monthly, alternating between standing committee meetings (Quality Curriculum, Policies and Procedures, and Enabling Technologies) and full Council meetings. The minutes from the July 2014 meeting of the AAC shows topics of discussion.

- **Quality Improvement Initiatives – Institution Level.** eLPS manages the institutional membership for the Sloan Consortium, an institutional and professional leadership organization dedicated to integrating online education into mainstream higher education. eLPS also partners with the Center for Teaching and Learning to purchase tickets for virtual attendance to the Sloan professional development conferences. There are 62 Consortium members from across the University who participate with the Division.
  - Baseline Sloan-C Scorecard Survey. This faculty survey established a baseline understanding and recommendations for improvement and buy-in for a centralized system. The data were analyzed and discussed in one-on-one meetings with the Executive Director and each Dean.
  - Sloan-C Scorecard Gap Analysis. eLPS is currently conducting a gap analysis of individual school/college policies and procedures, campus-wide, using the Sloan-C Scorecard as a benchmark.

- **Quality Improvement Initiatives – Course Level.** eLPS funds and manages the institutional membership for Quality Matters™ (QM), a nationally ranked faculty-driven peer review process for ensuring effective online course design. Membership includes access for all UAB faculty and staff to an interactive QM site where they enjoy access to professional development training and certification courses. Currently, 30 UAB faculty and staff have created profiles on UAB online for accessing materials. Two UAB QM members have earned Peer Reviewer Certification and two courses have earned QM Course Recognition, which means they were submitted for a formal review and met QM Rubric Standards. The Director of Academic Outreach serves as an institutional representative.
holds Quality Matters Peer Reviewer Certification, and is anticipating earning QM Master Certification. The eLPS goal is to build a network of QM experts who can conduct in-house reviews University-wide.

- External and Internal Communications. eLPS launched a website portal (internet access required) on May 10, 2013, to educate, inform, and market online programs. eLPS manages communications from the "Contact Us" portal and, in the past 12 months has forwarded approximately 900 potential student inquiries to appropriate academic units. eLPS employs a variety of internal communications. Regular announcements to faculty and staff are posted in the UAB Reporter. The "Canvas Success Site" (internet access required) provides significant links for student and faculty support, including training, technical support, and online glossary. Finally, eLPS uses the student newspaper, Kaleidoscope, and GreenMail to announce news and events of interest to online students.

- Learning Management System (LMS) Administration. eLPS was established in the timeframe when the existing LMS (Blackboard Learn) was nearing contract termination and provided leadership in the vetting and selection of the University’s new LMS, which it administers. An assessment-driven process guided development of the selection and adoption plan:
  - A Needs Survey of online faculty was conducted in summer 2013.
  - The survey results identified desired or required LMS features and functions.
  - All LMS providers were invited to submit proposals demonstrating the capabilities of their LMS against the criteria established by the end users.
  - Usability testing with faculty and students was conducted.
  - UAB adopted Canvas in the first ever campus-wide technology review and adoption plan to include end users and other stakeholders

- New LMS Training. eLPS provides necessary training and support for faculty and students to implement the new LMS and ancillary technologies:
  - The UAB Online website "How Online Learning Works" (internet access required) includes an Online Readiness Self-assessment, Tips for Success, What to Expect, Admissions, and links to student services. The "Canvas Success" (internet access required) website includes announcements, FAQ about the transition to Canvas, student and faculty training and tutorials, and technical support.
  - The Canvas Success Team convened Canvas administrators campus-wide and IT personnel to foster a collaborative and seamless transition to Canvas.
  - New training opportunities for faculty based on survey of needs feedback are being provided, such as:
    - In-house training provided by eLPS staff in March/April 2014. Ongoing daily sessions held in the CTL three times per day in March/April 2014.
    - Rich repository of online tutorials (internet access required) in PDF, video, and mobile formats
    - New ongoing bi-weekly training opportunities using GoToTraining for students in April, May, and June of 2014.

- State Authorization. eLPS conducted research to establish the current status of UAB Compliance and the potential financial impact of state authorizations. In July 2012, UAB engaged Eduventures Research and Consulting for Higher Education to indicate UAB’s obligations, state by state, regarding compliance with state boards of education regulations. An outside consultant recommended that UAB begin processing applications for state authorization or exemptions. Following the consultant’s recommendation in March 2013, eLPS contacted each of the fifty states and, together with information from Eduventures, developed a cost estimate model for acquiring authorization in each state. As a result of our efforts related to state authorizations, UAB currently has full authorization to deliver online courses in 41 of the 50 states.

Enrollment Management
Enrollment Management’s functions and responsibilities include undergraduate admission, registrar, international recruitment and student services, new student programs, processing operations, financial aid and scholarships, and marketing communications for prospective students as well as current student communications as it pertains to Enrollment Management.

Objectives, Assessments, and Outcomes
Administrative support services in the Office of Enrollment Management exist to manage administrative and customer service processes related to student success from their first contact with UAB as prospective students, through graduation. The Office of Enrollment Management completed assessments of the following service units which illuminated priority areas for improvement.

1. Financial Aid. A working group was charged to meet and review current aid processes. Representatives from One-Stop, Enrollment Operations, Communications, Admissions, IT, Institutional Effectiveness and Financial Aid convened for a series of meetings to review and assess current Financial Aid practices in order to recommend improvements to the processes related to student experiences with the Financial Aid office.

2. International Recruitment and Student Services. Additionally the International Recruitment and Student Services (IRSS) office staff completed a self-assessment with the goal of improving international student admissions and immigration processes.

Faculty Affairs
Faculty Affairs facilitates and manages all faculty personnel transactions, processes, actions, and functions for the University’s academic units. As shown on the organizational chart, Faculty Affairs reports to the Office of the Vice Provost for Student and Faculty Success. Faculty Affairs’ mission is to provide responsive, timely, and customer-focused service to the academic units on campus, while serving as the primary source for all faculty-related matters on behalf of the Provost. A dedicated UAB Faculty website (internet access required) was created in early 2011 as part of the transition in leadership for the Office of the Vice Provost for Student and Faculty Success. The website provides an easily accessible source for all faculty-related items, including forms, procedures, guidelines, news, policies, updates, resources for chairmen, faculty search committee tools, etc., including those items specific to Faculty Affairs.

Objectives and Expected Outcomes:
The objective of this office is to maintain faculty appointment data, report on faculty recruitment efforts, and facilitate other faculty-related projects assigned by the Vice Provost and Provost.

Assessments
Ongoing assessment via open dialogue between the office and end-users provides continuous feedback for the identification of service improvement initiatives. For example, these interactions with stakeholders have led to several improvements in services and processes.
related to faculty recruitment.

Outcomes and Improvements
The new Vice Provost leadership assessed that guidelines, instructions, and procedures for recruitment did not exist in one concise location and that the limited information that did exist was not readily available. Beginning in 2011, Faculty Affairs initiated efforts to provide additional recruitment resources to end users.

The Office published a comprehensive set of guidelines to assist department administrators and department chairs with faculty recruitment searches, faculty recruitment advertisement placement, and additional steps in the primary phase of the recruitment. These guidelines were published on the Faculty website, making resources easily accessible by departments.

In 2011, Faculty Affairs created an electronic faculty recruitment request form to replace the paper form previously used. The new electronic form provides reports that had not been available before and completely phased out paper processes.

In 2012, Faculty Affairs partnered with Graystone Group Advertising and the UAB Office of Public Relations and Marketing to create faculty recruitment advertising templates. These templates provide a standard format for ads that are consistent with the University's branding guidelines. The guidelines also include sample advertisements and details of the elements to be included in each ad.

Additionally, the University partnered with HigherEdJobs.com to list all UAB faculty recruitment advertisements on their website. While providing an additional recruitment resource for academic units, this partnership promotes public relations by means of a university profile page that highlights the University and its campus to applicants.

Institutional Effectiveness and Analysis
The mission of the Office of Institutional Effectiveness and Analysis (IE&A) (internet access required) is to communicate data and information to promote strategic decision-making and continuous quality improvement. Following an operational assessment and extensive interaction with University stakeholders, the former Office of Planning and Analysis was realigned in February 2013 as the Office of Institutional Effectiveness and Analysis. The Office is led by an Executive Director and reports to the Provost through the Vice Provost for Administration and Quality Improvement. The IE&A Organizational Chart shows the reporting structure within the unit.

In 2012, the Office of Planning and Analysis underwent a broad operational assessment of its organization, capabilities, and ability to support the strategic goals of the University. The University's academic and administrative stakeholders had direct input in the assessment and contributed to recommendations that brought about increased capabilities and a greater focus on the analysis of strategic institutional issues. As a direct result of its realignment and investment in greater resources, IE&A has moved beyond its former retrospective role of supplying compliance and accreditation data, to one that can facilitate change and strategic decisions within the University. By merging traditional institutional research with robust information technology, its capabilities have grown from managing information to providing business and information intelligence. The objectives and sub-units listed herein are a direct reflection of assessment outcomes that better integrate detailed strategic and situational analysis, data reporting, and information support services.

Functionally, IE&A has five core areas of focus and collectively, these sub-units work collaboratively to achieve the overarching goals of 1) Continuous Service Improvement, 2) Decision Support, and 3) Data and Information Access. These goals and supporting objectives support continual assessment and measures of success. Additional outcomes assessment in support of these goals is described below.

Research & Analysis
Research and Analysis (R&A) provides data and advanced analysis to support informed decision-making at various levels within the UAB community (from senior administration, to academic units, and administrative offices). R&A brings improved capabilities to strengthen relationships with supported units through dedicated analyst liaison relationships and to provide institutional research and predictive analyses that promote the strategic goals of UAB.

Examples of stated objectives and outcomes to date include:

- Enhance Reporting Processes - In 2013-2014, UAB reentered into the Delaware cost study, which is an effort to compute the cost of instruction, at departmental level, by instructional Full Time Equivalent (FTE). Following completion of the study, lessons learned were captured in the Faculty Salary Report Summary and recommendations were offered to improve the availability and accuracy of data in central administration systems of record. The objective is to make sufficient and accurate data available in central systems to leverage Business Intelligence tools, further alleviating multiple manual processes and increasing capabilities for further analysis. UAB also participates in the Association of American University Professors (AAUP), Oklahoma State University (OSU), and Southern University Group (SUG) faculty salary surveys. In collaboration with the Web Based Services team, R&A designed a new and highly graphical executive summary of the collective results, suitable for print or for viewing on a mobile device.

- Liaison Relationships - The former office of Planning and Analysis was organized by functional reporting requirement. While this is a common structure in Institutional Research offices, it required stakeholders to contact multiple analysts in order to satisfy their data and analysis needs. Under its new structure, R&A is organized in a user group orientation, which promotes mutual understanding of R&A capabilities and stakeholder requirements, heightening the Office's customer service orientation.

- Institutional Research - In its inaugural institutional research effort, R&A conducted a "First Time Freshmen Retention Analysis" that established preliminary steps towards a predictive retention model. This study found relevant indicators that occur early in the freshmen experience and identified 166 freshman at significant risk of non-retain to the second fall were then identified for support or intervention, as appropriate. This ongoing project is currently incorporating and analyzing second through sixth year student data. This research effort has been selected for presentation at the Southern Association of Institutional Research fall 2014 forum.

Business Intelligence
Business Intelligence (BI) develops solutions that provide decision-makers access to key performance indicators through interactive self-
Examples of stated objectives and outcomes to date include:

- Dashboard Deployment - In 2013-2014, the BI group delivered new reporting capabilities in the form of BI Dashboards that provide self-service access to both official census data and operational and transactional data in the areas of enrollment, admissions funnel management, and credit hour production. The graphical tools allow users to easily discern trends and to drill-down to detail level, eliminating multiple manually-prepared reports. Dashboards have been deployed to more than 35 new users across the institution and include more than 25 performance charts and detailed analytical reports. Future content includes retention and graduation rates, course demand, student housing data, and graduate career survey results. Additionally, users will have greater access to this content via mobile devices.

- Centralized Ad-hoc Reporting Structure - Prior to the establishment of BI, reporting from UAB student information systems was a disparate function, often resulting in conflicting data sets reaching decisions makers. The BI group has assumed responsibility as a centralized source for the fulfillment of ad-hoc reporting requests relating to student data. Data requests are now entered in through a central system, and results provided to the requester in a timely manner using consistent data sources, tools, and methods.

- Data Integrity Management - Historically, issues with student data integrity were identified and managed after significant problems had occurred. The BI group has established protocols and tools for managing the integrity of transactional student data. Potential duplicate or invalid records are now proactively identified, investigated, and remediated using standard procedures and processes. Despite an increase in the entry points where these records enter UAB student information systems, the inflow of duplicate or invalid records has remained relatively invariable throughout 2013-2014, at an average of 175 new records for investigation per month.

External Relations & Academic Planning

External Relations and Academic Planning (ERAP) interfaces on UAB’s behalf with various external entities (including the University of Alabama (UA) Board of Trustees, UA System Office, Alabama Commission of Higher Education (ACHE), Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) through which the University regularly reports data and manages processes related to review and approval of academic programs.

Examples of stated objectives and outcomes to date include:

A primary goal of IE&IA is to facilitate strategic decision-making, and the ERAP area supports that goal by providing effective assistance for academic program planning during all stages of development of a new degree program. A specific objective to that end is to hold meetings with stakeholders once new degree programs are approved. This year, UAB developed a new Bachelor of Fine Arts program in Musical Theatre. ERAP worked with faculty in the College of Arts and Sciences from the very beginning through final approval by ACHE and the Board of Trustees, and then coordinated a meeting on March 13, 2014, to review relevant details prior to implementation.

Web-Based Services

Web-Based Services (WBS) develops custom software that promotes process efficiencies and user-friendly public-facing websites for academic and student support units which communicate information clearly and effectively to prospective/current students, faculty, and staff. WBS advises departments on how best to incorporate technology into their operations and assists departments in evaluating cutting-edge software solutions and optionally purchasing, installing, and supporting hardware and software solutions.

Examples of stated objectives and outcomes to date include:

- Improve Web Site Design - A stated objective of WBS is to improve the visual design, structure, navigation, and content of UAB websites.
- In 2013-2014, WBS redesigned multiple UAB Portal web pages and created new webpages, listed here, that improved access to UAB information. UAB uses the “SiteImprove” tool for automated monitoring of web pages. From January to May 2014, this technology tool enabled repair of 3,000 broken links and logged the creation of 35,000 new links.
- Using Google Analytics, WBS identified a significant upward trend in web access through mobile devices. Upgrades were then made to the content management system (moving from Joomla 1.5 to Joomla 2.5) to enable “responsive design” and optimize them for varying sizes of screens from desktop to tablet to phone.
- Technology to Solve Business Problems - An additional objective of WBS is to develop innovative technical solutions to improve processes and increase efficiencies across the institution. One such in-house application is the “Integrated Survey System,” which facilitates the operations of integrated surveys and calling campaigns for various data collection and feedback requirements. Traditionally, survey response rates for the Career and Professional Development, Office of the Registrar, and University Academic Success Centers averaged around 33%. Following the integration of the “Application for Degree” and “Application for Commencement” solutions, undergraduate response rates have risen to between 65-80%, and these rates were attained prior to the calling campaign.
- One-Card Photo Submission App - This new application automated the photo submission process for issuing the UAB student ID card known as “One-Card.” Students can now securely submit their photos online following registration for New Student Orientation. ID cards are printed and made available to students at the opening of their orientation session. As of May 2014 in its inaugural year, a total of 2,449 photos had been uploaded, with an approval rate of 65%.
- Improved Access to Consumable Data
  - Created informative, functional maps for Disability Support Services, UAB Dining, and the Hill University Center relocation plan.
  - Created graphics and charts for incorporation within the UAB President’s presentations.
  - Redesigned UAB’s 2013-2014 institutional Facts & Figures publication with improved charts and graphics for analysis and visualization.
Developed visuals for UAB’s new Quality Enhancement Plan

Improved Awareness of Sexual Assault and Reporting Requirements - UAB takes student health and well-being seriously. Students need to distinguish rape myths from reality and know when, as well as how, to intervene when they recognize a potential assault. The University contracted with Student Success (internet access required), which offers a “preventing sexual assault” program. WBS integrated this program as part of the UAB New Student Orientation application, whereby new students can securely log in to complete this mandatory training prior to arriving at orientation. The program went live for the summer 2014 cohort, and as of end-of-month May, 455 students had taken advantage of the training.

Office of Vice President for Development, Alumni, and External Relations

The mission of the Office of the Vice President for Development, Alumni, and External Relations (internet access required) is to increase private support and awareness by building and fostering relationships with the University’s constituents. Through outreach, the Office of the Vice President for Development, Alumni, and External Relations helps fund higher education for deserving students and enhance the overall student experience. Private support and public awareness support the attainment of three goals:

1. Foster and strengthen relationships with alumni, which helps promote UAB and generate philanthropic gifts.
2. Increase private financial support for UAB and involve constituents in supporting the mission of the University relative to education, research and patient care.
3. Increase public awareness, understanding, and appreciation for UAB that supports fundraising, alumni affiliation, student recruitment, employee engagement, and state support.

Assessments

The Office’s sub-units employ a variety of internal and external assessments that include alumni contacts, evaluation of donor databases and prospects, campaign readiness, donor surveys, and social media engagement and analytics. The data and feedback generated by these assessments inform continual process improvement in a highly dynamic and strategic environment. This Office has three sub-units.

The Office of Annual Giving and Alumni Affairs

The Office of Annual Giving and Alumni Affairs (internet access required) serves as the liaison between UAB and the UAB National Alumni Society (NAS), a non-profit, dues-paying organization. This office also provides professional staff to manage the alumni efforts, recruit membership in NAS, and generate alumni philanthropic support. Annual Giving works with each school/college/unit to provide opportunities for direct mail and phone calls to their alumni.

- **Objectives:** Continued increase in alumni giving rate and active NAS membership.
  - Each year, the Associate Vice President of Alumni Affairs and Annual Giving assesses with University leaders the objectives and goals for increasing alumni engagement as engaged and active alumni provide sustaining support to their alma maters. During this time of assessment, personal face-to-face meetings occur to review the previous year’s accomplishments, the available resources for the coming year, and the planned activities for alumni. Goals are then determined based on these variable factors. These meetings are conducted in consultation with our annual giving oversight vendor, RuffaloCody, a national leader in alumni relations and annual giving.

- **Assessment:** Alumni contact is increasing through direct mail, email, and special events. The new UAB National Alumni Society House, which opened in 2011, is an event home for alumni and friends to gather and reconnect. The National Alumni Association now has 61 constituent and geographic chapters with two new chapters pending NAS board approval.

- **Outcomes and Improvements:**
  - NAS established its Excellence in Business Top 25 Awards to cultivate successful alumni who are industry leaders, and generate additional philanthropic support.
  - NAS touches more than 130 events annually, involving all 61 chapters in at least one event.
  - NAS supports meaningful traditions on campus, such as Welcome Week for returning students and a Senior Send-off Reception for graduates.

UAB Annual Pledge Fulfillment Rates and Increases Over Time

<table>
<thead>
<tr>
<th>Year</th>
<th>Pledges</th>
<th>Fulfilled Amount</th>
<th>Fulfillment Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012-2013</td>
<td>$603,873</td>
<td>$459,513</td>
<td>76%</td>
</tr>
<tr>
<td>2011-2012</td>
<td>$477,542</td>
<td>$336,934</td>
<td>71%</td>
</tr>
<tr>
<td>2010-2011</td>
<td>$446,000</td>
<td>$312,200</td>
<td>70%</td>
</tr>
<tr>
<td>2009-2010</td>
<td>$422,000</td>
<td>$253,000</td>
<td>60%</td>
</tr>
<tr>
<td>2008-2009</td>
<td>$310,000</td>
<td>$185,335</td>
<td>60%</td>
</tr>
</tbody>
</table>

The University Development Office

The University Development Office works to increase private financial support for UAB by developing and sustaining community support
for its mission to educate students, pursue research and scholarship, deliver patient care, and promote economic development. Multi-year goals keep fundraisers focused on philanthropic gifts for top institutional priorities, and development officers meet with campus leadership to evaluate priorities and determine necessary resources to raise philanthropic financial support to meet those priorities.

**Objectives:** Continued growth in philanthropic support received from individuals, corporations, and foundations in the form of gifts and pledges.

**Assessment:** Over the past four years, total private gifts and pledges (in millions) have increased 40%, from $61,500,000 in 2009-2010 to $86,400,000 in 2012-2013.

**Outcomes and improvements**

The University analyzed its donor database and rated prospects relative to giving capacity as a first step in cultivation and solicitation. In addition, the University engaged Marts & Lundy to evaluate its campaign-readiness. Based on the consultant’s recommendations, UAB’s Advancement Services area was reorganized and strategic hires were made in Development Communications, Information Technology, and Prospect Management. Data enhancements were made to track progress with donors and report on the use of their gifts.

Following a feasibility study, which included confidential donor surveys, a multi-year comprehensive campaign was launched to raise $1 Billion — the largest announced goal for any university within the state — to help transform UAB and Alabama. The October 2013 launch of the "The Campaign for UAB: Give Something, Change Everything" extended UAB’s unified branding initiative launched earlier in the year. It echoes the brand tagline “Knowledge that will change your world” to make the case that gifts help UAB change the world through research, patient care, the arts, student scholarships, and more. Campaign for UAB messaging is appearing in TV, radio and print ads, all campaign material and on websites. To date, UAB has raised $510M and has 4 years remaining to meet the $1 Billion goal.

**The Office of Public Relations and Marketing**

This office sustains ongoing outreach programs to the community and to local, state, and national media, produces publications and other materials, manages UAB's website, and creates marketing programs for UAB entities. The Office is organized into four distinct departments: Development Communications, Marketing Communications, Media Relations, and Strategic and Integrated Communications.

**Objectives**

- Growth in web/social/mobile engagement indicators
- Sustained presence of positive mentions in earned external media
- Incremental growth in number of websites deployed and supported

**Assessments**

- Monitor engagement indicators to ensure targeted channels are reaching and engaging constituents
- Over the past three years, the number of unique visitors to www.uab.edu increased by one third from 4,061,738 in the year ending September 30, 2011 to 5,417,246 in 2013.
- Over the past two years, social media reach through www.facebook.com/UAB.edu increased almost 140% from 4,779 in the year ending September 30, 2012 to 11,419 in 2013.
- Media Relations provides daily reports of news media hits and distributions to senior leadership and other leading constituents.
- Over the past four years, these media hits (excluding Athletics) increased by 74% from 6,130 in 2010 to 10,676 in 2013.
- Paid advertising reach measures the messaging for UAB branding in the Birmingham designated marketing area for people ages 25 and older. In Fiscal Year 2013, the television medium reached 95% of the 25 and older demographic, and radio reached 80%.
- www.uab.edu websites deployed annually increased from 120 in the year ending September 30, 2011 to 301 in 2013.

**Outcomes and improvements**

Use of the findings to improve the institution. A better understanding of users’ online preferences and behaviors led to greater emphasis and more resources directed at developing thoughtful, targeted landing pages — Undergraduate Admissions, Students, Faculty, Apply, About UAB — to replace a kitchen-sink approach “front door.” Statistics on referring sites led to directing more resources to Facebook and LinkedIn and reducing time invested in Twitter. These noted changes in the media landscape led to the reorganization of the Office of Public Relations and Marketing in 2013 and the formation of a new department, Strategic and Integrated Communications. The Development Communications department was created to promote The Campaign for UAB externally and support internal needs for proposals and other collateral. Additionally, service center functions of Marketing Communications were dissolved to enable the entire department to focus solely on institutional priorities instead of responding to tactical level concerns from multiple clients from across the University.

**Office of Vice President for Equity and Diversity**

The Office for Equity and Diversity (internet access required) exists to increase, retain, and enhance faculty, student and staff diversity at all levels of the University and to ensure equity. At UAB, diversity is the full range of human difference and potential that manifests itself in individual members of the campus community. Equity is meant to include equal access to employment and educational opportunities and to deal fairly and equally with all members of the UAB community.

**Objectives**

In 2002, the UAB President declared Diversity as a core value of the institution and the UAB Strategic Diversity Plan was developed. This plan drives program outcomes and implementation strategies, which are to 1) continue to establish diversity as a core value at UAB; 2) promote diversity in all aspects of university life; 3) create an environment in which its members are diverse, offering perspectives from which all can gain knowledge and skills; and 4) encourage all members of the community to listen to, understand, and learn from each other.

**Assessments**
The Diversity Awareness Education (DAE) program was established to sensitize all UAB full-time faculty to the importance of Diversity. The DAE program consists of an online course and an in-person course designed for "Diversity Interactions" between the registered class participants. The program has a 60 day completion deadline from each person's date of hire. Each calendar month, the Office for Equity and Diversity receives an extract of data from the UAB Faculty and Staff Learning System which provides the status of each individual employee as it relates to their completion of DAE. This report enables the Office to continually assess its efforts in reaching the institutional goal of an 80% completion rate for full-time employees, and informs unit managers of their employees' status. Monitoring DAE completion by Job Profession ensures that Executive/Managerial employees are supplied with information on Diversity.

**Outcomes**

- Currently UAB has a 80% completion rate for full-time faculty
- UAB has been named among the nation's top ten universities for diversity by The Princeton Review for four consecutive years and the nation's top university for awarding undergraduate degrees to African-Americans in allied health diagnostic, intervention and treatment professions, according to *Diverse: Issues in Higher Education*.

**Office of the Vice President for Financial Affairs and Administration**

The Office of the Vice President for Financial Affairs and Administration (FA&A) (internet access required) supports the University's education, research, and patient-care mission and activities by providing the central services required by all UAB entities. FA&A conducts its business through five primary divisions. Each of these divisions set objectives and structure concomitant outcome assessments that inform improvements in the services offered by each respective unit. The following units will be discussed:

- Business and Auxiliary Services
- Facilities Division
- Human Resources
- Police Department

**Business and Auxiliary Services**

Business and Auxiliary Services coordinates non-educational and general business services that contribute and relate directly to the mission, goals, and desired outcomes of UAB. Some of these services are provided to departments and employees for a fee, and others are provided at no cost.

**Printing and Mailing Services**

Printing and Mailing Services is a division of Business and Auxiliary Services that works to deliver world-class print, copy, and mail services to UAB customers at the lowest cost possible.

**Outcomes and Assessments**

A desired outcome of the customer satisfaction program of Printing and Mailing Services is to ensure the division meets the printing expectations of its customers and stakeholders. Progress is assessed annually through customer service surveys with an achievement target of increasing the number of customers who rate themselves as "very satisfied" by 5%. Cumulative survey responses over the three-year period 2010-2011 to 2012-2013 show that customers who rated themselves as "very satisfied" increased at an annual rate of 2.1% to 2.9% and currently stands at 83.5%. While not achieving the target growth rate of 5%, customer satisfaction is on a consistent and upward trend. Action plans for further increasing customer satisfaction include improving product quality and cycle time, continuing compilation of customer feedback and analyzing trends and providing customers immediate feedback that their responses are appreciated and being acted upon.

**Facilities Division**

Facilities Division provides Building Services (housekeeping), Campus Maintenance, Central Utilities, Design Build Services (which includes Architecture and Engineering and Construction), Facilities Planning and Design, Grounds, Hospital Maintenance, Occupational Health and Safety, and Project Management Services.

**UAB Recycling**

Sustainability is a key outcome of facilities operations, and UAB offers multiple ways for students, faculty, and staff to lend their hand or lend their voice to sustainability outcomes at the University and across the city. The UAB Recycling Program is one such initiative.

**Objectives**

Prior to 2008, UAB's solid waste vendor provided recycling solely for white office paper. In 2008, as a result of student/staff/faculty demand and the opportunity to re-bid the solid waste contract, UAB started planning within the Facilities Department to expand the current recycling program from only white office paper and cardboard to add #1 and #2 plastic bottles and aluminum cans. In December of 2008, UAB hired the program's first (and current) director, a UAB alumnus with a self-designed bachelor's degree in environmental studies and previous experience as a bioenvironmental engineer. Since then, the program has grown quickly, servicing buildings across the 93 city block campus to recycle paper, plastics, and aluminum cans. In 2009, the Recycling Center at UAB was added, providing drop-off recycling services for the campus community. Promotion of the UAB Recycling program was featured in the UAB Magazine and in the UAB Reporter.

The program provides recycling containers to campus buildings along with pick-up service of those containers. Following initiation of the program, one assessment had been the lack of dependable transportation for the pick-up and delivery of recycled materials. With the benefit of a 2010 grant awarded by the Alabama Department of Environmental Management, UAB purchased a dedicated 24-foot box truck, specifically decorated to highlight UAB Recycling. Promotion of recycling efforts are done by display signs across campus and on UAB websites.

**Assessments**

From its baseline 2009-2010 activity volume of 535,560 pounds of paper collected, UAB has far exceeded its 5% annual growth target,
with over 1,000,000 million pounds of paper collected in 2012-2013. In the first half of Fiscal Year 2013-2014, UAB recycled approximately 400,000 pounds of paper products, 6,000 pounds of aluminum, and 12,000 pounds of plastic.

### UAB Recycling Volume

<table>
<thead>
<tr>
<th>Year</th>
<th>Target Increase (%)</th>
<th>Target (pounds)</th>
<th>Actual (pounds)</th>
<th>Actual Increase (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-2010 Paper Collections</td>
<td>Measure for Baseline</td>
<td>619,978</td>
<td>590,455</td>
<td>62%</td>
</tr>
<tr>
<td>2010-2011 Paper Collections</td>
<td>5% increase</td>
<td>562,338</td>
<td>687,980</td>
<td>22%</td>
</tr>
<tr>
<td>2011-2012 Paper Collections</td>
<td>5% increase</td>
<td>590,455</td>
<td>975,860</td>
<td>65%</td>
</tr>
<tr>
<td>2012-2013 Paper Collections</td>
<td>5% increase</td>
<td>619,978</td>
<td>1,004,120</td>
<td>62%</td>
</tr>
</tbody>
</table>

UAB continues to expand sustainability opportunities and programs such as ride sharing, reutilization of University property, employee wellness, “meatless” dining options, and partnering with local vendors to offer seasonal farm stands in various campus locations. All are designed to make sustainability a part of the University community’s daily routine.

### Human Resources

Human Resources (HR) provides support to the institution and its employees through the Department of Benefits, the Child Care Center, Compensation, Development and Training, the Employee Assistance program, Employee Relations, Employment, and Temporary Services.

The **AWARE Program** (Always Working to Advocate, Retain, and Employ) provides disability-management services when an employee’s job is affected by a physical, mental, or emotional impairment.

### Objectives

Through a unique partnership between UAB and the Alabama Department of Rehabilitation Services, the AWARE Program’s objectives include assisting current employees and their departments, job seekers going through the application process, and employees returning from long-term disability or medical leave. In addition, the AWARE Program coordinates requests for reasonable accommodations under the Americans with Disabilities Act. The goal of AWARE is to enhance staff retention by providing disability-management services for a diverse UAB workforce within a supportive work environment.

### Targets

A desired outcome of the job retention services provided by the AWARE program is to increase the number of employees who retain their jobs as measured by the percent increase in the number of AWARE cases still employed with an achievement target of at least 5% growth over the next year.

### Assessment

At the program’s inception, desired outcomes were to increase membership of disabled individuals to the program at a rate of 5% annually and to retain 50% or greater of the disabled employee population hired throughout this program each year. An analysis of historical data revealed that the percent of employee enrollment growth from 2008-2012 averaged 1.5% annually and 1.2% for 2013. The program has continuously achieved a retention rate of 50% or greater from 2008 to 2013.

### Outcomes

The initial 5% program growth rate was an estimate selected to facilitate further assessment. Based on historical rates, it was determined that a sustained annual growth rate of 1.5% is more realistic than the initial 5% growth rate, and the objective was adjusted accordingly. Promotion of the AWARE program was done through an article in the *UAB Reporter* and through campus events.

### UAB Police Department

The UAB Police Department is an accredited policing entity with full police powers. In cooperation with the Birmingham Police Department, the UAB Police provide protection for the UAB community, crime prevention programs, criminal investigations, law enforcement training and education, and traffic control. The department also operates a security guard service, which provides an unarmed, uniformed presence in parking decks and other facilities on a routine basis.

The goal of the UAB Police Department is to foster a safe and secure environment for the UAB campus as guided by the accreditation standards of the Commission on Accreditation for Law Enforcement Agencies. In relation to pedestrian safety, UAB is an urban university, and the streets that transit its campus belong to the City of Birmingham. University Avenue is a major UAB and Birmingham thoroughfare that connects to Interstate 65 and the Expressway. It dissects the campus where student traffic is heaviest and is a persistent safety challenge. Remedial options are limited, as a significant amount of traffic on campus is transient in nature and not subject to UAB control or the influence of UAB’s safety education programs.

### Outcomes

The campus is home to almost 19,000 students, 23,000 employees, UAB Hospital (1.2 million patients annually), and a wide range of health care clinics. A desired outcome of UAB’s Pedestrian Safety Campaign is to reduce the number of pedestrians (to include bicycle riders) injured in “vehicle on pedestrian” incidents, as measured by an analysis of official Police Department incident reports. Safety assessment activities support those safety education and enforcement activities that are under UAB control and revealed that broader engagement with city and state authorities is necessary in order to influence improvements in pedestrian safety.

### Assessments

- In 2010-2011: There were five pedestrian accident statistics.
- In 2011-2012: There were a total of 12 pedestrian vehicle accidents. Two of these accidents were attributed to pedestrians, and ten (83%) were caused by transient traffic through campus.
- In 2012-2013: There were a total of 13 pedestrian vehicle accidents of which twelve of these accidents were attributed to drivers...
Outcomes and Improvements

To address these persistent challenges, UAB commissioned a September 2012 Traffic Signal Phasing Study. The goal of this study was to improve the University’s influence in its ongoing negotiations with the City, whereby UAB was petitioning for traffic flow changes that could contribute to an overall reduction in the total number of vehicle on pedestrian accidents. The report made recommendations regarding (traffic light) protected and permissive left turn phases at eight intersections located along University Boulevard.

Office of the Vice President for Information Technology

The Office of the Vice President for Information Technology (UAB IT) (internet access required) provides central information technology services for UAB faculty, staff, and students; it is comprised of approximately 200 technology professionals with expertise in a broad array of fields as demonstrated in the UAB IT organizational chart.

Assessments

UAB IT leverages a variety of formal and informal assessments which include soliciting employee input, providing newsletters and open forums to inform and educate, actively involving employees in personnel and IT security processes, and engaging in multiple initiatives to inform and influence organizational and institutional improvement.

Outcomes

- Recent upgrades include classroom technology and campus WiFi
  - **Computer Hardware.** As part of UAB IT’s ongoing commitment to ensuring that classroom technology keeps pace with the needs of the learning environments at UAB, computer hardware in the classrooms is upgraded on a regular basis. For the start of the fall 2014 term, approximately half of the IT supported classrooms will receive new computers. The remainder of the classrooms will be upgraded over the December break.
  - **Academic Buildings.** In 2014, UAB IT completed a major upgrade to the wireless network (WiFi) in the academic buildings on campus. This upgrade leverages the latest technology to provide greater performance, security, and ease of use for the WiFi network is used by all students at UAB. Although the upgrade was deployed first to academic buildings, all other (non-academic) buildings at UAB are scheduled to be converted to the enhanced WiFi network in FY2015.
  - **Improved information security education and awareness across campus.** UAB IT has a key responsibility to protect UAB’s electronic data assets from cyber-attacks and data breaches. To that end, UAB IT has undertaken a series of activities and campaigns to educate the UAB community about information security best practices and to increase awareness of cyber threats. The following outcomes have arisen from assessments of UAB IT security education and awareness objectives.

  Orange Sheet™ – Confidential Information Security Bulletin: In response to ongoing and increasing cyber threats, the UAB IT Information Security Department publishes the "Orange Sheet," an internal information security bulletin distributed to mid- and executive-level managers at UAB intended to keep executives and key leaders informed of relevant Information Security issues. The "Orange Sheet" has been published for 28 consecutive months, beginning with its first edition in January 2012, and has a monthly distribution of over 650 people.

  **National Cyber Security Awareness Month:** To provide a broader awareness, UAB IT participates annually in National Cyber Security Awareness Month (NCSAM) activities to raise awareness of security best practices among UAB’s faculty, staff, and students. In FY12, UAB IT hosted a series of Wednesday luncheon presentations for campus constituents. Faculty and staff were offered security-relevant presentations from notable Information Security experts, UAB Forensics faculty and staff, FBI cyber investigators, and other leaders in the Information Security arena. Attendance for this initiative exceeded 200 students and technology employees from across the University. In FY13, UAB IT’s October NCSAM activities focused on a Security Awareness Poster campaign publicizing a dozen different information security topics (such as cyber threats, safe online hygiene, and data management best practices) to more than 60 buildings across campus. Included were corresponding electronic announcements (emails, UAB reporter articles, Greenmail articles, etc.) publicizing the campaigns.

  **Enterprise Information Security Council:** The Enterprise Information Security Council (EISC) was formed in FY2010 under the leadership of UAB’s Information Security Officer. The purpose of the EISC is to: 1) focus technology staff on campus-wide security efforts impacting their organizations, 2) solicit input from technology staff on security activities and events which impact a broad cross-section of campus, and 3) adjudicate specific exception requests to UAB Information Security policies and standards. In late 2011, the Council was re-initiated, meeting quarterly throughout the 2012 calendar year. In 2013, the meeting frequency was increased to 6 times a year (every other month). Membership in the Council has grown from 20 in early 2012 to a current level of 50. Minutes from EISC meetings in December 2013 and March 2014 show topics of discussion.

  **Information Security Advisory Committee (ISAC):** formerly the President’s Security Forum, was formed in mid-2012 and consists of Information Security leaders appointed by the UAB President, to evaluate and mitigate security risks that UAB faces in today’s cyber security arena. The UAB IT’s Information Security Officer organized and manages the committee, which met every six weeks. In late 2013, the ISAC was expanded to 20 members to increase representation of campus departments and schools. Currently, the ISAC serves in an advisory role to the IT Oversight Committee, providing recommendations on cyber security related issues for both the campus and the University hospital, as shown in minutes of ISAC meetings in January 2014 and March 2014.

Office of the Vice President for Research and Economic Development

The Office of the Vice President for Research and Economic Development (OVPRED) (internet connection required) is responsible for supporting research activity and assisting Schools, the College of Arts and Sciences, and the offices of the Provost and President in the evaluation of progress towards achieving University-wide research outcomes (scorecard) which are described in more detail in Comprehensive Standard 3.3.1.4.
Office of the Senior Vice President for Medicine and Dean, School of Medicine

As Dean of the School of Medicine, this position reports to the Provost on all academic, research, and faculty issues. As the Vice President for Medicine, this position reports to the President of UAB on clinical activities.

Sources (In Order of Appearance)

[PDF] UAB Organizational Chart
[PDF] Previous Strategic Plan Website - Goals and Objectives
[URL] UAB Strategic Plan
[PDF] Executive Leadership Performance Evaluation - Provost
[PDF] Executive Leadership Performance Evaluation - VP Dev Alumni & Ext Rel
[PDF] Executive Leadership Performance Evaluation - VP Equity & Diversity
[PDF] Executive Leadership Performance Evaluation - VP Fin Affairs & Admin
[PDF] Executive Leadership Performance Evaluation - VP IT
[PDF] Executive Leadership Performance Evaluation - VP Research & Econ Development
[URL] Office of the Provost
[PDF] Office of the Provost Mission and Vision
[PDF] Office of the Provost Organizational Chart
[PDF] UAB Provost Office Strategic Plan
[PDF] Prov A&F Org Chart
[PDF] Prov A&F Mission Vision Goals
[PDF] Prov A&F Workplan
[PDF] Prov A&F Goals 2011
[PDF] Prov A&F Goals 2012
[PDF] Prov A&F Goals 2013
[PDF] Prov A&F Fiscal & Administrative Officers Agenda
[PDF] Prov A&F Expenditure Guidelines Matrix
[PDF] Prov A&F Entertainment Guidelines
[URL] Center for Teaching & Learning
[PDF] Faculty Senate Presentation on CTL
[PDF] CTL Instructional Technology Positions
[PDF] CTL Faculty Teaching and Support Facilities
[PDF] CTL UAB New Faculty Orientation Fall 2013
[PDF] CTL - Event Evaluation Responses
[PDF] UA System Scholars Institute
[PDF] CTL New Faculty Orientation Survey Fall 2012
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[PDF] CTL - Academic Advisory Council Agendas
[PDF] Evaluation of Centers for Teaching & Learning
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[PDF] eLearn - UAB Online Strategic Plan Summary Report
[PDF] eLearn - Online Survey
[PDF] eLearn - Online Education Strategic Plan Overview
[PDF] eLearn - Strategic Plan with Objectives and Performance Indicators
[PDF] eLearn - Establishment Memo to Trustee
[PDF] eLearn - Roles and Responsibilities
[PDF] eLearn - AAC Minutes July 2014
[PDF] eLearn - Results Baseline Sloan-C Quality Survey
[PDF] eLearn - Sloan-C Scorecard Recommendations
[PDF] eLearn - Gap Analysis
[URL] UAB Online
[PDF] eLearn - Sample Web Inquiry Responses
[URL] Canvas Success
[PDF] eLearn - Needs Assessment Survey
3.3.1.3 Institutional Effectiveness: Academic and Student Support Services

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.3 academic and student support services.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

UAB’s mission is to be a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond.

This mission statement is based significantly on a strategic plan that was produced in 2002 and further refined in 2010. The previous strategic plan set forth major goals and objectives, each with clearly defined outcome metrics.

Goal I: Transforming Undergraduate Learning
We will provide a student-centered, collaborative learning experience to prepare diverse students for rewarding careers and lives that benefit society and our regional and global economy.

Goal II: Transforming Graduate and Professional Education
We will offer exceptional graduate and professional programs that prepare diverse students to lead, teach, conduct research, provide professional services, become the prominent scholars and societal leaders of the future, and contribute to our region’s prosperity.

Goal III: Research and Scholarship
We will expand UAB’s capability to discover and share new knowledge that benefits society, spurs innovation, fosters the region’s economic development, and further positions UAB as an internationally renowned research university.

Goal IV: Service to Community and State
We will partner with our community and state to improve education, health, quality of life and economic development.

Goal V: Community/Financial Support
We will partner with the larger community to garner financial and other support to achieve our common goals.

Goal VI: Living/Learning/Working Environment
We will create a consumer friendly, positive, supportive, and diverse environment in which students, faculty and staff can excel.

Addressing Retention and Graduation Rates

The primary measures for preparing students through transformed undergraduate learning (Goal I) and offering exceptional graduate and professional education (Goal II) are identified by analyzing academic performance, engagement, and retention and graduation rates. Historical data indicated a need for better support services for the entire campus. The six-year and four-year graduation rates for first-time freshmen were 39.8% and 16.3% respectively, in 2002 (see Facts & Figures 2013-2014). By 2005, these rates were 48.2% and 25.6%, respectively. More in-depth study was needed to determine the most effective approaches for providing the support services needed to further the advancements students have made in obtaining degrees. A Strategic Enrollment Management (SEM) Committee was formed in 2007, consisting of representatives from each of the academic and student support areas. A SEM Steering Committee was formed comprised of all of the deans (of schools with undergraduate programs), Associate Provosts, Provost, and University President to provide oversight for SEM.

In examining the first Spring and second Fall rates of students remaining enrolled, results indicated improvement, yet took slight dips from 2008 to 2009. A focused examination of the best practices for improving student success began. A new Retention and Graduation Committee was formed, chaired by the Vice Provost for Student and Faculty Success and comprised of the deans, associate provosts, Faculty Senate representatives, Provost, and Provost’s Office administrators. Consultants from the Education Advisory Board (EAB) were tapped for their services, and a more systematic approach to improving the retention and graduation rates for students was formulated based on EAB’s Hardwiring Student Success manual. The targeted approach placed technology tools, data-driven decision making, and student support programs at a high priority. The approaches that were implemented as a result are discussed below.

Improved Access to Information

A number of online systems which serve to provide easier access to the academic catalog, degree plans, and degree audit system (called Graduation Planning System (GPS)) were implemented. Planning student organization meetings became easier with the implementation of an online room reservation system, BookIt, while mobile device friendly views for campus systems relevant to students were developed.

Student organizations and groups are always in need of venues for promoting events. The University implemented an online system for managing student group activities while providing a web presence with social media tools. BSync was rolled out in 2010. An additional module, BSync Service Management System, was added in April 2013. Service partners are able to market service opportunities to
students, build a volunteer base for future service opportunities, collect required waivers or forms, communicate with registered
volunteers regarding opportunity assessment forms, track and approve volunteer participation and service hours, and populate each
student’s Involvement Summary and Co-Curricular Transcript. Students are able to search all service opportunities in one location and
RSVP for opportunities. UAB student organizations are able to endorse specific service opportunities, receive credit for service, and
maintain service record in their Involvement Summary and Co-Curricular Transcript.

Instructors benefited from system improvements by receiving access to an early alert system whereby they may access their student
rosters and give feedback to students who are not doing well in their courses. The early alert system has a number of notification
options such as "failing due to absences", "see your adviser," "make an appointment," etc. The early alert messages are sent to the
students indicated. The system is also enabled to allow advisers to indicate when students make an appointment as a result of receiving
early alert messages. This functionality helps to establish a wrap-around support system of services for students.

Student Support Personnel and Wrap-Around Services
Support personnel in Student Life and Student Support Services use BlazerNET, the student information system to monitor student
progress. The first approach to providing improved services involved the customization of BlazerNET, to allow for an integrated view of
student participation in student services and identify at-risk factors which indicate a need for outreach. The student service staff view of
BlazerNET includes a client relationship manager (CRM) system that enables users to generate lists of students based on the selection of
at-risk factors such as those that:

- have account hold(s) blocking registration
- are not registered
- have not checked the Graduation Planning System in 6 months
- have early alerts from faculty
- have not applied for degree
- are repeating course(s)
- enrolled in course(s) with historically high rates of students earning D’s, F’s or W’s
- have cumulative GPA is less than 2.0
- have requested a transcript
- changed major three times or more
- have a freshman ACT less than 23
- failed to reach a milestone within major
- are on academic warning or probation
- earned less than a 2.4 in first semester as a freshman

Utilizing this functionality allows personnel to generate targeted lists which are manageable for outreach purposes. Additionally, the At-
Risk screen allows users to view the list of courses offered in the past two academic years with 25% or more of students receiving final
grades of D, F, or W (withdrawn after the drop/add period). The DFW report also provides the number of unique students enrolled in the
courses verses the duplicated count, allowing users to be apprised of the numbers of courses which are repeated more routinely than
others.

In 2013, a research study was conducted to determine the characteristics that best predict the persistence of UAB students. Based on
the population of 1,368 entering freshmen in the fall of 2007, results indicated that the freshman year, students who met with their
adviser, declared a major, and lived on campus were more likely to remain enrolled the following fall semester. Grade point average was
predictive of persistence each of the four years studied. In the fourth year, students who participated in Supplemental Instruction (SI)
sessions were more likely to remain enrolled into the eighth spring of their academic study. Results of this study are provided in the
article, Background or Experience: Using logistic regression to predict college retention.

As a result of these analyses, the University created a highly visible, easily accessible tutoring center whereby SI sessions are managed,
academic coaching is offered, and tutoring appointments are available. A series of academic skills workshops are also provided each semester.
A director with extensive experience working with at-risk, college-age populations was hired and began working to expand the
offerings of the University Academic Success Center (UASC). Since Fall 2013, the number of academic departments working with the
UASC has expanded. Attendance for all activities of the UASC and outcomes regarding academic success are tracked.

Academic Support
A summary of the support services detailed below are provided in the Retention Initiatives and Academic Engagement presentation to
the UAB Faculty Senate.

University Academic Success Center
The University Academic Success Center offers tutoring, supplemental instruction, academic skills workshops, outreach, and special
programming for students who are conditionally admitted. Results of the offerings of the UASC for Fall and Spring of academic year
2013-2014 are shown in the table below.

<table>
<thead>
<tr>
<th>Interaction Types for UASC</th>
<th># of Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students attending Supplemental Instruction (SI)</td>
<td>12,860</td>
</tr>
<tr>
<td>Unduplicated count of students utilizing SI</td>
<td>2,891</td>
</tr>
<tr>
<td>Attendance of students in Tutoring sessions</td>
<td>754</td>
</tr>
<tr>
<td>Attendance of students in UASC workshops</td>
<td>240</td>
</tr>
<tr>
<td>Phone Calls/UASC Emails</td>
<td>560</td>
</tr>
<tr>
<td>Walk-Ins</td>
<td>592</td>
</tr>
</tbody>
</table>
Forty-one first-time freshmen were conditionally admitted for the Fall term of 2013. The students were required to enroll in academic skills courses for the first two semesters of enrollment, and their registrations were limited to 12-14 hours. The results of the programming requirements and outreach efforts delivered through the UASC are provided in the 2013-2014 UASC Report and in the following table:

<table>
<thead>
<tr>
<th>Grade Point Average</th>
<th># of Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt; 1.99</td>
<td>3</td>
</tr>
<tr>
<td>2.0 – 2.99</td>
<td>15</td>
</tr>
<tr>
<td>3.0 – 3.99</td>
<td>22</td>
</tr>
<tr>
<td>4.00</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td>41</td>
</tr>
<tr>
<td>Average Cumulative GPA</td>
<td>3.0</td>
</tr>
</tbody>
</table>

Another outcome is the increase in student participation in the SI sessions available for identified courses. In the Fall of 2010, only 46% of the students whose courses had SI available attended one or more sessions. By Spring of 2014, 86% of students enrolled in courses having SI attended one or more session. The result of students attending SI is demonstrated by the differences among the final grades earned for these courses. Students participating in SI earned final grades that were 0.77 points higher than the final grades of their classmates who did not participate. In BY 124 - Introductory Biology II, the final grades of students participating in SI were, on average, 1.26 points higher than their non-participating peers’ final grades.

The need for bolstering university-wide academic support services was also identified through the design process of the Quality Enhancement Plan of 2005. The plan identifies a shared vision for UAB graduates stating:

"...regardless of major, [a UAB graduate]... uses communication skills effectively, possesses breadth and depth of knowledge, is experienced at problem-solving, and is prepared for responsible citizenship in the community, nation, and world."

The plan identified three areas of emphasis: Writing, Quantitative Literacy, and Ethics and Civic Responsibility.

University Writing Center

As a result of the implementation plans for the QEP, the University Writing Center (UWC) was opened in 2008. Choosing Writing as an emphasis area of the QEP was explained as follows:

"...writing is fundamental to competent functioning across the undergraduate curriculum and in life beyond graduation"

Assessment measures for the UWC include tracking interactions with students and administering surveys to collect feedback. Results of data collected from August 2013 through April 2014 (the fall and spring semesters) reflect that the UWC held 3,962 one-on-one consultations and saw 1,244 unique clients. Additionally, the UWC saw 228 students during 13 workshops. On voluntary surveys administered after consultations, students were asked to rate on a scale of 1-5 their satisfaction and likelihood to return. In the 900 surveys collected during this time period, 86% of students selected 5 for “very satisfied” and 91% selected 5 for “very likely to return.”

<table>
<thead>
<tr>
<th>Student Participation</th>
<th>Fall 2012</th>
<th>Spring 2013</th>
<th>Summer 2013</th>
<th>Total/Average</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of appointments</td>
<td>2,306</td>
<td>1,170</td>
<td>295</td>
<td>3,771</td>
</tr>
<tr>
<td>Face-to-face</td>
<td>2,264</td>
<td>1,140</td>
<td>283</td>
<td>3,687</td>
</tr>
<tr>
<td>Online</td>
<td>42</td>
<td>30</td>
<td>12</td>
<td>84</td>
</tr>
<tr>
<td>Semester utilization</td>
<td>75%</td>
<td>50%</td>
<td>27%</td>
<td>51%</td>
</tr>
<tr>
<td>Midterm</td>
<td>81%</td>
<td>70%</td>
<td>37%</td>
<td>63%</td>
</tr>
<tr>
<td>Final week of classes</td>
<td>77%</td>
<td>90%</td>
<td>53%</td>
<td>73%</td>
</tr>
</tbody>
</table>

The UWC added English Second Language (ESL) expertise to work with students for whom English is their second language. The results of ESL services included 125 tutorials being held and positive feedback received from faculty members and students. In one post-tutorial evaluation a student commented, “I truly enjoyed the experience and left feeling confident about my paper.” Another student said, “I’ll be back soon!”

The UWC partners with university areas to expand its reach and to offer specialized services for campus programs. Collaborations during the 2012-2013 academic year yielded the development and delivery of workshops which included how to write timed essays for the Teacher Education Program (TEP); completing applications for students vying for a Fulbright award; and writing personal statements for students utilizing the English Language Institute. These workshops were added to the regular rotation of offerings by the UWC. Additionally, a library partnership resulted in the revamping of the UWC website to include links to library resources routinely accessed by student writers. New and developing partnerships include a project seeking to support service-learning course writings and the establishment of an intensive writing program, "Accelerate Your Dissertation," for students composing theses and dissertations. The UWC also partners with the UASC to provide assistance in writing across the disciplines. Details on the statistics, evaluations, and partnerships are found in the 2012-2013 UWC Annual Report.

Math Learning Lab

Another University resource center resulting from the QEP’s emphasis on the undergraduate curriculum is the Math Learning Lab (MLL). The QEP plan of 2005 describes a justification for the focus on quantitative literacy as follows:
quantitative literacy enables one to solve quantitative problems in coursework and to make wise decisions about public matters that increasingly are couched in technical terms.

The Math Learning Lab began tracking the success rates of students enrolling in pre-calculus courses at the undergraduate level in 2005. Since that time, the Department of Mathematics has redesigned courses, increased the level of support provided through the MLL, and, in the spring term of 2014, began to collaborate with the UASC on the services offered. Results of the strategies and services added to the MLL offerings are reflected in greatly-improved success rates (grades of A, B, and C) in pre-calculus level courses.

Success Rate (%) in Pre-Calculus Mathematics Courses, Traditional Format

<table>
<thead>
<tr>
<th>Course</th>
<th>Fall 2005</th>
<th>Fall 2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>MA 098 - Basic Algebra</td>
<td>40</td>
<td>78</td>
</tr>
<tr>
<td>MA 102 - Intermediate Algebra</td>
<td>34</td>
<td>70</td>
</tr>
<tr>
<td>MA 105 - Pre-calculus Algebra</td>
<td>50</td>
<td>86</td>
</tr>
<tr>
<td>MA 106 - Pre-calculus Trigonometry</td>
<td>39</td>
<td>71</td>
</tr>
<tr>
<td>MA 107 - Pre-calculus Algebra and Trigonometry</td>
<td>38</td>
<td>74</td>
</tr>
<tr>
<td>MA 110 - Finite Mathematics</td>
<td>69</td>
<td>92</td>
</tr>
</tbody>
</table>

In 2009, online courses were added to the pre-calculus course offerings. A comparison of the success rates of mathematics courses offered in traditional and online formats indicates lower success rates for online sections. In response to this observed trend, the UASC began offering Supplemental Instruction sessions for selected online sections of Math 098 - Basic Algebra in the summer term of 2014.

Online Students
The resources available to students taking online courses are available through web access tools. For example, the UASC provides Supplemental Instruction sections of Math 098 - Basic Algebra. SI leaders utilize the synchronous instruction tool which is incorporated into the learning management system. The UASC is also expanding training for staff in partnership with UAB Online. PY 101 - Introduction to Psychology is being taught online and is utilizing SI during Fall 2014. A listing of Supplemental Instruction sessions offered in fall 2014 is provided.

TRIO Academic Services
TRIO Academic Services (TAS) conducts an annual assessment of the services provided to students. The measures reported are the following:

- Persistence - percentage of all participants served by the project in the reporting year who enroll at the institution in the fall term of the next academic year or graduate with a bachelor’s degree during the reporting year.
- Good Academic Standing - percentage of participants served who met the performance level required to stay in good academic standing at the grantee institution.
- Bachelor’s Degree Attainment - percentage of new participants served in the Cohort Year who graduate with a bachelor’s degree within six years.

The results from the interventions administered since 2011 are provided in the table below.

TAS Prior Experience Reports, 2011-2013

<table>
<thead>
<tr>
<th>Percent of Cohort</th>
<th>2011-2012</th>
<th>2012-2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>Persistence</td>
<td>97%</td>
<td>92%</td>
</tr>
<tr>
<td>Good Academic Standing</td>
<td>99%</td>
<td>98%</td>
</tr>
</tbody>
</table>

The six-year graduation rates for students in TAS compared to the first-time full-time Freshman UAB cohorts are as follows:

Six-Year Graduation Rates*

<table>
<thead>
<tr>
<th>2006-2007 Cohort</th>
<th>2007-2008 Cohort</th>
</tr>
</thead>
<tbody>
<tr>
<td>TRIO</td>
<td>68%</td>
</tr>
<tr>
<td>UAB</td>
<td>48%</td>
</tr>
</tbody>
</table>

*Note: Students participating in TRIO may also be reflected within the UAB First-Time Full-Time Freshmen Cohort reporting.

Disability Support Services
The mission of UAB’s Disability Support Services (DSS) is to make UAB programs and services accessible to students with disabilities. To assess the effectiveness of their services to both students and faculty members, DSS conducts annual surveys. This year, the Office also began an open survey which is available at any time throughout the year. Results of the findings of the most recent surveys are discussed below.

Annual Student and Faculty Survey
DSS conducts an annual survey at the end of Spring semester to seek feedback from both registered DSS students as well as faculty members. The Spring 2014 Student Survey Report and Spring 2014 Faculty Survey Report are included and will be discussed below.

The purpose of the Student Survey is to seek the input of registered DSS students regarding their impressions of the services provided to students with disabilities. The survey is designed to evaluate student impressions and level of satisfaction in the following areas: working with DSS and UAB faculty; accessibility of campus facilities and programs; delivery of accommodations (i.e., test proctoring services, interpreting/CART services, etc.); and additional DSS services (i.e., academic coaching, counseling sessions, Assistive
The University of Alabama at Birmingham

Study Away

Service Learning courses has more than doubled. Arts and Sciences has quadrupled the credit hours produced by Service Learning courses. The number of students participating in students enrolling in Service Learning courses, and the number of credit hours earned by each college/school. Since 2009, the College of continuation of the designation. Since 2009, Service Learning has tracked the number of courses incorporating service, the number of Partnerships. The University took part in the process for renewal of the classification this past Spring and awaits announcement of a involvement and volunteerism. Since 2008, UAB has consistently been accepted for inclusion in the President's Higher Education academic learning, promote civic engagement and to strengthen and support our local and global communities. The Office offers faculty these areas tracks the participation of students and credit hours produced and measures outcomes. Results for Academic Engagement and Global Citizenship are provided.

Service Learning

The mission of UAB Service Learning is to connect students, faculty, and community nonprofit partners together to enrich student academic learning, promote civic engagement and to strengthen and support our local and global communities. The Office offers faculty events to discuss ways service can be utilized as a pedagogy; holds "matching" events for students and faculty members seeking community partners interested in hosting volunteers to join in their efforts, and collects metrics which illustrate UAB's community involvement and volunteerism. Since 2008, UAB has consistently been accepted for inclusion in the President's Higher Education Community Service Honor Roll and was awarded the voluntary Carnegie classification for Community Engagement and Outreach and Partnerships. The University took part in the process for renewal of the classification this past Spring and awaits announcement of a continuation of the designation. Since 2009, Service Learning has tracked the number of courses incorporating service, the number of students enrolling in Service Learning courses, and the number of credit hours earned by each college/school. Since 2009, the College of Arts and Sciences has quadrupled the credit hours produced by Service Learning courses. The number of students participating in Service Learning courses has more than doubled.

Academic Engagement and Global Citizenship

Higher education research studies in the area of retention and graduation indicate that students who participate in high impact activities have higher graduation rates and improved academic achievement. Benchmarking against aspirant and peer institutions in the area of graduation rates, the Office for Retention Initiatives and Academic Engagement supports students by providing assistance and resources in academic engagement activities through the Office's subunits: Service Learning, Study Away, and Undergraduate Research. Each of these areas tracks the participation of students and credit hours produced and measures outcomes. Results for Academic Engagement and Global Citizenship are provided.

Study Away

The University of Alabama at Birmingham
The mission of the Office for Study Away is to prepare students for success in the globalized world by administering and establishing high-quality study away opportunities. Therefore, Study Away seeks to increase the number of students participating in coursework abroad by assisting faculty members develop course proposals incorporating international travel and supporting students seeking to incorporate international study into their curricula. Through information sessions, manning a comprehensive web presence complete with searchable database, and campus partnerships, the number of opportunities for international study have grown. Since 2009, the number of students who have studied in countries outside of the United States has increased from 196 to 298.

### Undergraduate Research

The third component of Academic Engagement and Global Citizenship is Undergraduate Research. The primary goal of the Office for Undergraduate Research (OUR) is to increase the level of undergraduate research activity at UAB, whether conducted by the hard sciences or by the creative arts or occurring in the lab or on the stage. This activity may come in the following forms:

- Discover (e.g., sciences, creative arts)
- Integration (e.g., interdisciplinary studies)
- Application (e.g., engineering applications, community-based research)
- Teaching (e.g., education)

OUR holds two research Expos annually. The Expos provide students the chance to prepare posters and presentations presenting their research and their findings. The UAB community is welcomed to visit the Expo, and the students compete for prizes and recognition of their hard work. Members of faculty and administrators serve as judges of the projects as they interact with the student researchers and use scoring sheets to note their observations. The number of students who submit abstracts and present at Expo has increased in recent years. The number of courses offering the research process within the curricula has also increased. Since 2009, the number of students enrolled in undergraduate research courses has increased from 1,638 to 2,800. The number of students participating in the expos has increased from 143 to 205. Academic areas participating in the expo has increased from 53 to 68.

### Student Involvement and Student Engagement

Engagement is an important part of getting acclimated to college life. Student Life addresses this need with seventeen professional staff members supporting athletic spirit teams, Greek organizations, student groups, and student media. Student Involvement manages Greek Affairs, Leadership Programming, and Civic Engagement. Each area addresses Goal I in being student-centered; Goal IV with community service events; and Goal VI in creating a consumer friendly, positive, supportive and diverse environment. Welcome Week activities represent the many opportunities students have to become involved. The Leadership and Service Council organizes community service events and coordinates with the Office for Service Learning, for initiatives such as Hunger and Homelessness Awareness Week. A summary of Student Involvement activities are reported in the 2013-2014 Annual Report.

Leadership Programs utilizes surveys to measure outcomes. For example, Greek Council Executive Officers participated in an overnight retreat at the YMCA Camp Hargis Retreat Center. The retreat was designed to achieve the following learning outcomes:

- Develop relationships with other leaders in the Fraternity and Sorority community and foster a stronger sense of community within the Greek system at UAB. (Interpersonal and Campus Community)
- Complete goal setting and calendar planning for each council and then again as a community. (Interpersonal Competence and Communication)
- Identify University expectations and requirements for fraternities and sororities as well as their role in meeting these expectations as a Council officer.

The following questions were asked on a 1-3 scale (1 = able to accomplish objective, 2 = somewhat able to accomplish objective, 3 = can accomplish objective well) to assess if members felt comfortable with topics presented.

The following questions were asked on a 1-3 scale (1 = able to accomplish objective, 2 = somewhat able to accomplish objective, 3 = can accomplish objective well) to assess if members felt comfortable with topics presented.

<table>
<thead>
<tr>
<th>Topics</th>
<th>Average</th>
</tr>
</thead>
<tbody>
<tr>
<td>I understand the mission and goals of the National Panhellenic Conference</td>
<td>2.8</td>
</tr>
<tr>
<td>I am able to identify the College Panhellenic values and what actions support or detract from these values</td>
<td>3.0</td>
</tr>
<tr>
<td>The members of the College Panhellenic know who to collaborate to advance their organizations</td>
<td>3.0</td>
</tr>
<tr>
<td>I have the confidence and enthusiasm needed to move the council forward</td>
<td>3.0</td>
</tr>
<tr>
<td>I understand how to use the similarities and differences of all organizations of the College Panhellenic in order to advance the community</td>
<td>3.0</td>
</tr>
</tbody>
</table>

The following questions were asked to assess each participants level of personal understanding of the topics discussed. Participants were asked to agree or disagree. 28 participants completed the survey.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Agree</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chapter Members work well with members of other chapters</td>
<td>28</td>
<td>0</td>
</tr>
<tr>
<td>I am actively engaged in advancing my College Panhellenic</td>
<td>28</td>
<td>0</td>
</tr>
<tr>
<td>I have the tools needed to move my community forward</td>
<td>28</td>
<td>0</td>
</tr>
<tr>
<td>It is clear what support is available and I know how to access help and resources</td>
<td>28</td>
<td>0</td>
</tr>
<tr>
<td>I know where to begin in terms of an action plan to move forward</td>
<td>27</td>
<td>1</td>
</tr>
<tr>
<td>The College Panhellenic is aware of what issues need to be addressed first</td>
<td>27</td>
<td>1</td>
</tr>
<tr>
<td>Communication is open, honest, and will support continued collaboration</td>
<td>28</td>
<td>0</td>
</tr>
</tbody>
</table>

Civic Engagement also utilizes surveys to assess outcomes. Examples are as follows:
Summer Service (June) - The focus of the trip was medically focused. All participants volunteered at MedShare, at the Center for Disease Control, and at the Global Soap Project. All participants indicated that they learned more about medical issues and medical equipment. Students indicated that they learned the importance of teaching health care education and hygiene to those in other countries. Both MedShare and the Global Soap Project take items that would be wasted and redistribute them to other countries. Several students indicated that they would continue to volunteer and participate in similar programs in the Birmingham community with a desire to do more to help others understand challenges less fortunate individuals face each day.

Blazers on Break - This project took 24 undergraduate students and three staff to Sumter, South Carolina for a Habitat for Humanity house build (Collegiate Challenge). Participants were provided housing from Aldersgate United Methodist Church in Sumter. Most meals were provided by either UAB or Habitat for Humanity. The focus of the trip was to assist with the completion of two Habitat for Humanity House builds. All participants were given tasks or chose their own tasks each day to assist in the building of the homes. All participants indicated that they learned much about not only building a home but about the importance of building a community. The service project was so popular that many students indicated that they would like to participate in another house build in the very near future. Several students indicated that they would continue to volunteer and participate in similar programs in Birmingham with a desire to help improve the Birmingham community.

The division of Student Involvement is continuing to expand its use of surveys and data analysis as a means to improve programming for students.

Sources (In Order of Appearance)

[PDF] Goal I: Transforming Undergraduate Learning
[PDF] Goal II: Transforming Graduate and Professional Education
[PDF] Goal III: Research and Scholarship
[PDF] Goal IV: Service to Community and State
[PDF] Goal V: Community/Financial Support
[PDF] Goal VI: Living/Learning/Working Environment
[PDF] Education Advisory Board
[PDF] BookIt
[PDF] Graduation Planning System (GPS)
[PDF] BlazerNET
[PDF] DFW List
[PDF] Background or Experience
[PDF] Academic Success Workshops
[PDF] Faculty Senate Presentation UASC
[PDF] 2013-2014 UASC Report
[PDF] 2005 UAB QEP (Page 15)
[PDF] 2005 UAB QEP (Page 18)
[PDF] UWC 2012-2013 Report
[PDF] 2005 UAB QEP (Page 21)
[PDF] Success Rates in Pre-Calculus Courses (2014)
[PDF] Supplemental Instruction
[PDF] DSS 2014 Student Survey Report
[PDF] DSS 2014 Faculty Survey Report
[PDF] Academic Engagement Results
[PDF] UAB Service Learning
[PDF] UAB Office for Study Away
[PDF] Office for Undergraduate Research
[PDF] Greek Affairs
[PDF] Leadership Programs
[PDF] Civic Engagement
[PDF] Welcome Week
[PDF] Leadership and Service Council (LSC)
[PDF] Leadership and Service Council Hunger and Homelessness Awareness Week
[PDF] Student Involvement results
3.3.1.4

Institutional Effectiveness: Research

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.4 research within its mission, if appropriate.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The University of Alabama at Birmingham is committed to the philosophy and practice of institutional effectiveness and recognizes the importance and necessity of successful planning and assessment in continuous quality enhancement. The University's institutional effectiveness program encompasses two areas of emphasis for research-oriented units: an integrated, ongoing strategic planning process, and comprehensive periodic reviews that provide in-depth analyses of overall achievement and identify strategies for improvement. The collective efforts of these units have helped the University improve performance in advancing the research mission.

Research within the UAB Mission

Mission

UAB's mission is to be a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond. Given the breadth of the mission statement, research and scholarship in the context of the mission of UAB refer to a spectrum of activities that range from innovative performance art, to basic science, to applied biomedical research. Regardless of the form it takes, the research and scholarship activities of the Schools and College of the University of Alabama at Birmingham fully support its intellectual mission by engaging the participation of its faculty and students and enhancing the reputation of the University regionally, nationally, and internationally.

The University recognizes the importance of research and scholarship, not only to the general advancement of its mission, but also to the faculty and students performing such activities. Research discoveries provide continuing evidence of intellectual engagement by students and faculty and enable peers within the larger academic and medical communities to judge the quality of institutional scholarship. UAB embraces diverse disciplines, thus scholarly achievement takes many forms including the publication of books, monographs, and journal articles; presentations at professional meetings; participation in professional and academic conferences; preparation of seminars and workshops; and presentation of new work in the visual, musical, and theatre arts. The evaluation of such a diverse portfolio of scholarly contributions is inherently subjective, and practical criteria are needed to minimize subjectivity and standardize the evaluation process. Generally these evaluations are carried out at the unit and school level with participation by evaluators with content expertise drawn from both within UAB and peer institutions.

Strategic Planning

The UAB previous strategic plan set forth major goals and objectives, each with clearly defined outcome metrics. Strategic Goal III was Research and Scholarship. The most robust segment of the institution’s research portfolio is in biomedical fields, and the well-defined metrics associated with Goal III reflect that emphasis. In some areas including the aggregate number of funded investigators, federally sponsored research expenditures, and sponsored research expenditures, UAB’s performance satisfactory. Here we highlight some of those metrics that are of significance in assessing progress in the research mission. In 2013:

- UAB ranked 28th among all public institutions in the nation in sponsored research expenditures, as reported to the National Science Foundation Higher Education Research and Development Survey (FY2013). Total research expenditures exceeded $362M.
- UAB ranked 21st among all public institutions in the nation in federally sponsored research expenditures ($308,511,828).
- UAB ranked 11th among all public institutions in grant and contract funding from the National Institutes of Health.
- UAB licensed 31 technologies, and three new companies were formed.

Office of the Vice President for Research and Economic Development

The Office of the Vice President for Research and Economic Development (OVPRED) is responsible for supporting research activity and assisting Schools, the College of Arts and Sciences, and the offices of the Provost and President in the evaluation of progress towards achieving University-wide research outcomes. As shown in the OVPRED Organizational Chart, the units that report to the OVPRED include research centers and institutes described below, the Animal Resources Program, Institutional Animal Care and Use Committee, the Office of the Institutional Review Board, the Office of the Conflict of Interest Review Board, the Office of Sponsored Projects, the Office of Sponsored International Projects, the Clinical Trials Office, Occupational Health and Safety, the Material Transfer Office, the Research Foundation, and the Institute for Innovation and Entrepreneurship. In addition, the institutional Research Integrity Officer reports to the Vice President for Research and Economic Development.

University Organization to Promote Research

Centers and Institutes

At UAB, multi-disciplinary research centers and institutes contribute substantially to fulfillment of the University's research mission. Indeed, most investigators involved in research belong to one or more centers. Rule 503 of the Board of Trustees of the University of Alabama (the Board) and UAB's policy on the Establishment of Centers and Institutes govern the processes for approving proposed new centers and institutes. Some centers and institutes were organized and operate within specific colleges or schools and, thus, are...
subsumed in school or college-level strategic planning and reporting activities. Other centers are designated as University-wide Interdisciplinary Research Centers (UWIRC); the UAB UWIRC program is administered and supported by the OVPRED. Designation as a UWIRC provides the opportunity to apply for funds drawn from institutional resources. The total UWIRC program budget is in excess of $4M per annum. Most of the centers that have been granted UWIRC designation are supported by federally-funded center grants (P or U series awards). Funding of this type includes competitive submissions for renewal (usually every 5 years). In addition, annual progress reports are required by the funding agency. An annual progress report submitted by the Rheumatic Disease Core Center component of the Comprehensive Arthritis, Musculoskeletal and Autoimmunity Center is provided as an example. Further, centers typically are regularly assessed by both internal and external advisory groups, and the VP for Research and Economic Development, or his designee, participates in these reviews. An example of a Joint Internal Advisory Committee/External Advisory Committee report following the assessment of the Rheumatic Disease Core Center is provided. Beginning with the 2014 funding cycle, UWIRC-designated centers will also submit progress reports annually to the OVPRED as required in the UAB Procedures for Review of Centers and Institutes. A key requirement to be awarded and maintain UWIRC designation is that the center activities are closely aligned to the research goals of the institution.

Strategic Planning
The UWIRC program began in 1996 and has grown to include 25 Research Centers. In 2013, a high-level planning and assessment team composed of school and college deans, department chairs, and the Assistant VP for Research was formed to evaluate the UWIRC program as part of the institution’s strategic planning process. The selection of the assessment team members was based on unit characteristics including the implementation of robust strategic plans and assessment processes with clear and measurable performance metrics and a history of facilitating the development of successful research programs. The assessment team met over the course of a year, and the VP for Research and Economic Development reported on the group’s progress at monthly meetings of the deans of the schools, college, and libraries and the Office of the Provost. The UWIRC Assessment Panel’s findings and recommendations were submitted to the VP for Research and Economic Development and the UAB President in April 2014.

In brief, the committee’s report noted that while the UWIRC program has been highly successful in providing a matrix for interdisciplinary multi-investigator research and graduate training, there were clear opportunities to improve program effectiveness. The committee produced a list of recommendations that included:

- Implementing a more rigorous center application and evaluation process that would include school-level reviews by advisory committees reporting directly to the Deans;
- Developing a clear and transparent process for establishing new centers;
- Perhaps most importantly, ensuring that center programs are better aligned with the institution’s strategic goals.

The assessment committee produced a document that sets forth the metrics and benchmarks that will ensure that the center application evaluation process is consistent and standardized at all stages of review.

The VP for Research and Economic Development and the UAB President accepted these recommendations, and a new Application for Funding as a University-Wide Interdisciplinary Research Center was issued in May 2014. In response to the recommendations of the assessment team, the revised evaluation process will be more rigorous overall, include reviews from all schools and the College of Arts and Sciences, enhance accountability, and place special emphasis on evidence that center activities are closely aligned with the institution’s strategic goals. Center budget requests will be closely evaluated with reference to the assessment outcomes. In addition, a new standard process was developed for establishing and evaluating the impact of pilot university-wide centers.

Schools/College
At UAB, departments, schools, the College of Arts and Sciences, and multidisciplinary research centers and institutes are the units that engage in research activities. Each unit has a mission statement with clear, measurable goals and objectives that are consistent with the unit mission. For example, the research component of the strategic plan from the School of Medicine (SOM), which represents by far the largest portion of UAB’s total research enterprise, informed ongoing programs and subsequent investments in specific thematic areas and programs as is illustrated in the SOM Strategic Plan Year One Progress Report.

Strategic Planning
Unit-specific administrative policies as set forth in faculty handbooks describe unit-specific faculty workload policies. Collectively, these policies establish metrics for the assessment of faculty productivity and serve to facilitate research outcomes that are aligned with the mission of the units.

Organizational Support for Research and Economic Development
The UAB Institute for Innovation and Entrepreneurship
In addition to the services and programs described in the section on OVPRED above, the economic development activities of OVPRED are centered in the Institute for Innovation and Entrepreneurship (includes Research Foundation functions).

In 2012, the Birmingham Business Alliance, which is the Birmingham region’s chamber for regional prosperity, developed Blueprint Birmingham, an economic growth plan for the Birmingham area. At the core of this plan was the need to increase the translation of scientific discoveries stemming from UAB’s more than $400 million annual research enterprise into new commercial opportunities in the Birmingham region. In order to fulfill this aim, UAB leadership recognized the need to fundamentally transform the culture at UAB, which had historically been focused primarily on scientific discovery, by expanding the University’s vision to encompass technology innovation as the foundation for creating new enterprises.

An assessment was made of UAB research and commercially-focused units and their missions, including the UAB Research Foundation, was made at an Innovation, Entrepreneurship and Economic Develop Planning Session held in August 2012. Attendees included representatives from all UAB academic units, UAB leadership, and stakeholders in the Birmingham business community. The assessment revealed that in the areas of technology licensing, Research Foundation revenues, and the number of companies formed, institutional goals were not being met. This meeting identified the need for a new entity that would offer expanded services to faculty and students...
beyond the traditional technology transfer office offerings to create the infrastructure that would become the basis for an entrepreneurial ecosystem in the Birmingham region. The Entrepreneurship and Commercialization Strategic Planning Summary outlined findings from the meeting and identified next steps for establishing the UAB Institute for Innovation and Entrepreneurship (IIE).

Planning for the IIE was initiated through the efforts of a cross-disciplinary working group including:

- UAB representatives from the Collat School of Business, the School of Engineering, the UAB Research Foundation, the UAB Center for Clinical and Translational Science (the UAB organization that is the home of UAB's National Center for Advancing Translational Sciences (NCATS)-funded Clinical and Translational Science Award), and the School of Medicine.
- Individuals from external business and government entities including the Birmingham Business Alliance, Southern Research Institute, and the Economic Development Partnership of Alabama.
- Representatives from the Innovation Depot, a business incubator facility and program that focuses on the development of emerging biotechnology/life science, information technology, and service businesses that operates in close partnership with UAB. (Currently, the Innovation Depot includes over 90 tenants, many of which grew from research programs at UAB.)

The IIE was approved by the Board and established in February 2013. The UAB Research Foundation was subsumed into the IIE. The vision, mission and goals of the IIE are:

- Vision: to create an internationally recognized university institute that inspires, discovers, innovates, and creates successful entrepreneurial ventures and valuable products.
- Mission: To provide, foster, and promote a strong innovative and entrepreneurial ecosystem through education and experiential learning that will facilitate the successful practice of entrepreneurship at UAB, the region, and beyond.
- Goals:
  - Empower ALL on the UAB campus to inspire, discover, innovate and create.
  - Create a faster pathway from idea to commercialization.
  - Develop and enhance UAB’s undergraduate and graduate programs in entrepreneurship, innovation and new venture management.
  - Become a stronger economic development pillar for Birmingham, the State, the region, and the country.

The establishment of the IIE necessitated a complete reorganization of the Research Foundation that is only now nearing completion. A new IIE strategic plan was presented at a recent planning meeting attended by the Deans of the Schools and the College of Arts and Sciences. The evaluation and assessment of the IIE will be based upon progress in the areas of direct commercialization of UAB team projects; applications submitted to funding agencies, such as National Collegiate Inventors and Innovators Alliance (NCIIA) E-Teams and NSF’s I-Corp program; new start-up business; licensing agreements; and creation of business plans suitable for review by third-party investors.

Research-related Improvements

Evaluation of Software to Support Research Administration

As part of a strategic planning process in 2009, the OVPRED began engaging with faculty and administrators from units across campus to determine if the processes that were in place and the services provided were efficiently meeting the needs of the faculty and thereby furthering the research mission of the institution. This complex assessment, described in detail in the Research Administration Software Solution Recommendation and Proposed Implementation Plan, included the findings of the UAB Task Force on Grants and Contracts Infrastructure, the IRB Task Force, the Clinical Trials Policy and Oversight Committee, the findings of the Huron Consulting Group analysis, the CTR Communications Committee, and the Clinical Protocol Activation Process (C-PAP) Committee. It revealed that many research administration functions were a source of frustration for faculty, who perceived, sometimes justifiably, that delivery of these services was slow, the processes inefficient, and the system plagued by poor communication and bureaucratic red tape.

The OVPRED responded to this assessment by evaluating software designed to support research administration. Faculty and unit administrators representing every school and college were invited to assist with the evaluation of the programs during on-site and web-based demonstrations and provide input concerning which package would best serve the needs of the institution. This process resulted in a decision to commit the funds to support the development of a program called the Integrated Research Administration Portal (IRAP). The underlying software is a suite of modules developed by InfoEd Global Inc. These modules support electronic submission of compliance forms and funding applications and serve to seamlessly interconnect the operations of the Office of Sponsored Projects, the Office of the Institutional Review Board, Institutional Animal Care and Use Committee, Institutional Biosafety Committee, Occupational Health and Safety Chemical and Radiation Safety Committees, the Office of the Conflict of Interest Review Board, and the Research Foundation. The modules are implemented sequentially, and OVPRED staff regularly meets with unit administrative staff to demonstrate IRAP functions as new modules come online. This ensures that faculty and unit administrative staff have the opportunity to provide feedback as the various functions are implemented. When fully implemented in 2016, the system will have streamlined administrative processes, resulted in cost savings, improved data integrity, facilitated compliance with state and federal regulations, and reduced the administrative burden on faculty.

Responsible Conduct of Research Training

In fall 2008, UAB administered the Survey of Organizational Research Climate (SORC). The SORC is the first validated instrument specifically designed to measure the climate of research integrity in academic organizations. This assessment identified troubling differences between what faculty identified as their major concerns (“Can I trust my trainee to collect and present accurate data?”) and what students identified as theirs (“Can I trust my mentor to treat me fairly?”).

In fall 2010, as a participant in the Council of Graduate Schools Project for Scholarly Integrity, an initiative seeking to advance the scope and quality of graduate education in the ethical and responsible conduct of research (RCR), UAB undertook a Research Integrity Inventory of graduate programs that identified activities and resources which provided instruction to trainees in the teaching and modeling of research integrity. These surveys revealed that improvements could be made in the way RCR training was presented to UAB students.
As a result of these two sets of assessments, the UAB foundational course in research integrity, GRD 717 - Principles of Scientific Integrity, was revised to use a "flipped classroom" and team-based learning pedagogy to increase student engagement and discussion of issues of research ethics. As part of a subcontract from the University of Florida, the participants in this course will be assessed using a pre- and post-survey of "Ethical Decision Making" skills in fall 2014 and spring 2015, using a validated survey instrument from Dr. Michael Mumford and colleagues at the University of Oklahoma.

Important assessment findings come from peer review of HHS Training Grant (T32 and T35) applications. UAB conducts regular reviews of study section comments in order to better understand national trends in RCR training and to assess what changes need to be made in institutional RCR training. In the spring of 2014, comments and critiques of a UAB T32 training grant pointed out the need for a "refresh" course in RCR for both current and past training grant appointees who have not yet completed the Ph.D. program. This assessment led to the development of RCR Training Grant Requirements, a document that has been distributed to all training grant directors that outlines options for providing the required material. As part of a comprehensive response to the training grant critiques, UAB has extended RCR training to all STEM students at a level appropriate to their level of research activity. This applies to undergraduate students, master's students in research-based degree programs, Ph.D. students, and postdoctoral fellows. Minimum levels of training expected at each academic level are provided in the RCR Training Plan for UAB Students.

In April 2014, UAB received a communication from the Director of the National Science Foundation Research Integrity and Administrative Investigations requesting information for a review of the Responsible Conduct of Research Program at UAB. The prior planning and assessment efforts in the area of RCR training positioned UAB to be able to provide a timely, detailed response to the NSF request.

Data Collection, Management, and Storage

In the context of revising RCR training as described above, the identification of a major concern voiced by faculty in the SORC referred to above ("Can I trust my trainee to collect and present accurate data?") prompted an expanded discussion of how best to ensure that investigators understand and apply sound data collection and management practices in their laboratories. This is especially important given the increase in the number of research misconduct allegations and paper retractions worldwide over the past five years. These discussions prompted the VP for Research and Economic Development to direct the institutional Research Integrity Officer and others in OVPRED to prepare Guidelines for Data Collection, Documentation, and Storage. This document is based partly upon material from the DHHS Office of Research Integrity and partly on Alabama state regulations and UAB policies regarding records retention. It sets forth a series of suggested “best practices” and emphasizes the role and responsibility of the Principal Investigator in establishing sound research data collection and management practices in the laboratory and ensuring that laboratory personnel receive proper instruction and are conscientious in adhering to laboratory policies and procedures. This document will be provided to the Deans of the Schools and College for review in September before distribution to the faculty in October 2014.

Sources (In Order of Appearance)

[PDF] UAB Strategic Planning - Vision and Mission
[PDF] Goal III: Research and Scholarship
[PDF] Research Scorecard
[PDF] OVPRED Organizational Chart
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 243)
[PDF] Establishment of Centers and Institutes Policy
[PDF] RDCC P30 Progress Report
[PDF] RDCC IAC-EAC Discussion Notes (September 2013)
[PDF] UAB Procedures for Review of Centers and Institutes
[PDF] 2014 UWIRC Assessment Panel Findings and Recommendations
[PDF] UWIRC Application Evaluation Criteria
[PDF] 2014 Application for Funding as a University-Wide Interdisciplinary Research Center
[PDF] UWIRC Pilot Centers Program
[PDF] UAB School of Medicine Strategic Plan 2011 Summary
[PDF] School of Medicine AMC21 Year One Progress Report
[PDF] Blueprint Birmingham
[PDF] Innovation, Entrepreneurship and Economic Develop Planning Session (August 2012)
[PDF] Entrepreneurship and Commercialization Strategic Planning Summary
[PDF] BOT Minutes - February 2013 - Approval of IIE
[PDF] IIE Strategic Plan 2020
[PDF] Research Administration Software Solution Recommendation and Proposed Implementation Plan
[PDF] Survey of Organizational Research Climate
[PDF] Research Integrity Inventory Survey Templates
[PDF] Instruction in the Responsible Conduct of Research
[PDF] GRD 717 Syllabus
[PDF] RCR Training Grant Requirements
[PDF] RCR Training Plan for UAB Students
3.3.1.5

Institutional Effectiveness: Community/Public Service

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.5 community/public service within its mission, if appropriate.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Relation to Mission

Community engagement is a high priority at UAB, and it comes from the top down in UAB's mission and vision. UAB's mission is to be a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond. The UAB Vision is to be an internationally renowned research university — a first choice for education and health care. The UAB community engages with the greater community in all three points of our mission: the discovery, teaching, and application of knowledge. The institution’s urban setting, local focus on global issues, and institutional culture of collaboration enable UAB to work closely with the community.

UAB21, the 2010-2015 revision of the original strategic plan, was developed as a result of feedback collected through campus-wide town hall meetings and comments from the community. None of the revised strategic plan-associated goals were a radical departure from the original strategic plan. However, the institutional goals were refined to increase attention on current aims. The UAB Strategic Plan comprised six goals, each addressing a primary focus area of the University and each having precise objectives. Five of the six goals specify service or community engagement as a priority.

Goal I: Transforming Undergraduate Learning
We will provide a student-centered, collaborative learning experience to prepare diverse students for rewarding careers and lives that benefit society and our regional and global economy.

Goal II: Transforming Graduate and Professional Education
We will offer exceptional graduate and professional programs that prepare diverse students to lead, teach, conduct research, provide professional services, become the prominent scholars and societal leaders of the future, and contribute to our region's prosperity.

Goal III: Research and Scholarship
We will expand UAB's capability to discover and share new knowledge that benefits society, spurs innovation, fosters the region's economic development, and further positions UAB as an internationally renowned research university.

Goal IV: Service to Community and State
We will partner with our community and state to improve education, health, quality of life and economic development.

Goal V: Community/Financial Support
We will partner with the larger community to garner financial and other support to achieve our common goals.

Tracking Community Engagement with CBISA

UAB documents its community engagement efforts within an online tracking and reporting software called CBISA, which stands for "Community Benefit Inventory for Social Accountability." Since 2008, the collection of data on community outreach for service projects has grown to 378 individual projects as detailed in the August 2014 CBISA Report. Details are entered each academic year and reported for the time period prescribed by the President’s Higher Education Community Service Honor Roll, July 1 through June 30. Classification methods for the projects have been customized to address the university's Service to Community Scorecard. The previous measures examined UAB’s impact upon Education, Health, and Quality of Life for community members and stakeholders. The recent strategic planning activities by the President's Office updated these categories to Intellectual Capital, Health, Quality of Life, and Economic Impact. The CBISA database has been adjusted accordingly. Additional custom fields are structured for academic and student support units enabling each to record their community service efforts. Categories of projects include Community Engagement, Service Learning, and Faculty and Staff Research. Each project template contains custom fields enabling programs to note the following:

- number of UAB students
- number of faculty and staff
- number of community members
- number of hours contributed by faculty and staff
- number of hours contributed by UAB students

The age of participants may also be noted. These fields have also been customized to meet the needs of the scorecard measures. For instance, in 2010, UAB hosted 101,506 K-12 students participating in educational programs.

President's Higher Education Community Service Honor Roll
The University of Alabama at Birmingham

CBISA is also utilized to compile the information required for the President's Higher Education Community Service Honor Roll application. Since 2008, UAB has been among the honorees of this prestigious recognition. The application uses these metrics:

a. number of students who engaged in academic service-learning
b. number of students who engaged in forms of community service not including the students counted in determining a)
c. total number of students who engaged in community service of any kind (sum of a and b).
d. number of students who engaged in at least 20 hours of any kind of community service per academic term.
e. number of students whose service was support by one or more Corporation for National and Community Service (CNCS) programs

The following table demonstrates the strides the University has taken in increasing the participation of faculty, staff, and students in service as reported through the annual Honor Roll application.

<table>
<thead>
<tr>
<th>Year</th>
<th>Service Learning</th>
<th>Community Service</th>
<th>Any Service</th>
<th>20+ hours of service</th>
<th>CNCS Programs*</th>
<th>All Community Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td>560</td>
<td>2,506</td>
<td>3,066</td>
<td>1,687</td>
<td>57</td>
<td>104,367</td>
</tr>
<tr>
<td>2010</td>
<td>2,789</td>
<td>2,506</td>
<td>4,749</td>
<td>1,037</td>
<td>17</td>
<td>1,196,072</td>
</tr>
<tr>
<td>2011</td>
<td>816</td>
<td>1,960</td>
<td>2,024</td>
<td>1,470</td>
<td>16</td>
<td>61,381</td>
</tr>
<tr>
<td>2012</td>
<td>900</td>
<td>6,284</td>
<td>7,184</td>
<td>2,000</td>
<td>146</td>
<td>75,501</td>
</tr>
<tr>
<td>2013</td>
<td>1,320</td>
<td>6,321</td>
<td>7,641</td>
<td>720</td>
<td>160</td>
<td>114,615</td>
</tr>
<tr>
<td>2014</td>
<td>1,396</td>
<td>5,400</td>
<td>6,796</td>
<td>4,000</td>
<td>142</td>
<td>107,960</td>
</tr>
<tr>
<td>Totals</td>
<td>7,781</td>
<td>23,679</td>
<td>31,460</td>
<td>10,914</td>
<td>538</td>
<td>1,659,896</td>
</tr>
</tbody>
</table>

*CNCS programs include AmeriCorps VISTA, AmeriCorps State and National American NCCC, Learn and Serve America and Senior Corps.

Curricula Content

All undergraduate programs are required to include one course that is designated as “Ethical and Civic Responsibility” (ECR) within their curricula. ECR-designated courses were assessed against a university-wide rubric for inclusion in the course system. The 2005 QEP has been institutionalized, and work on strengthening these critical skills has continued in terms of ongoing improvement and assessment. The success of the QEP is detailed in the 2005 QEP Impact Report.

Assessing Community Engagement

National Survey of Student Engagement

The National Survey of Student Engagement (NSSE) measures enriching educational experiences (EEE), which is an index that shows the extent of interaction with students of different racial or ethnic backgrounds or with different political opinions or values, using electronic technology, and participating in activities such as internships, community service, study abroad, co-curricular activities, and culminating senior experience. In 2012, 31% of first-year UAB students reported at least one EEE while 40% of seniors reported an EEE. These percentages are an increase over 2006 (28% and 35%) and 2009 (31% and 38%).

NSSE also tracks active and collaborative learning (ACL), an index that measures extent of class participation, working collaboratively with other students inside and outside of class, tutoring, and involvement with a community-based project. In 2012, 44% of first-year UAB students reported an ACL experience while 50% of senior students reported an ACL experience. These percentages are an increase over 2006 (40% and 48%) and 2009 (43.5% and 49%). The 2012 percentages reported here for both EEE and ACL are significantly higher than 2 benchmark comparison groups.

Carnegie Community Engagement and Outreach and Partnerships Classification

UAB was awarded with the elective classification for Community Engagement and Outreach and Partnerships in 2009. To renew the classification, a follow-up application process was conducted. A measure of the effectiveness of the community service projects the University conducts is the catalog of community partners. The recent application netted a partnership grid demonstrating long-term relationships with community organizations and a commitment to reciprocal partnerships.

Graduating Student Survey

One key finding from current data is that students at UAB have greater access to service learning courses and experiences than in recent years. Some of the highlights of the most recent Graduating Student Survey noted that 45% of students participated in a service-learning course. There was a 45% increase in the number of service-learning courses from 2011-2012 to 2012-2013. There was also an increase in the number of students engaged in community projects who presented their community-engaged service and scholarship at the undergraduate EXPO discussed in Comprehensive Standard 3.3.1.3.

In 2012-2013, thirty-one academic areas tracked “contribute in practical ways to the educational and local community and to the larger society” as a general education/core curriculum association. One of these academic areas, International Studies, measures graduates’ ability to engage responsibly in the community and make informed decisions with respect to social and political issues. To reach this learning outcome, students take part in volunteer opportunities or demonstrated service to others and take part in student organizations dealing with international issues. To assess the effectiveness of the activities, a self-assessment exit survey was administered to the students. The results for 2012-2013 indicated that 83.33% of the students met this target. The same proportion of students was ranked as "Excellent" by their on-site supervisors regarding their understanding of fundamentals of the discipline.

Participation

Service Learning

UAB established an Office of Service Learning (internet access required) to facilitate the connection between students, faculty, and community. Based on retention research by Vincent Tinto, Alexander Astin, Jenifer Keup, and others, as well as those who have utilized the findings of the 2008 NSSE and the Cooperative Institutional Research Program (CIRP) surveys, the area of Retention and Initiatives and Academic Engagement tracks the number of students enrolling in service learning courses via course attributes. The course
attribute process began in 2007. Preliminary observations were made by examining the 2007 cohort of students enrolling in the Fall term as first-time freshmen. The cohort consisted of 1,368 students. Of these students, 11% completed at least one service learning course during the first four years of enrollment. The cohort increased its Spring to Fall retention rate by two percentage points, which was higher than any cohort since 2002. The first Fall to second Fall retention rate was three percentage points higher than for any of the previous cohorts. Similarly, the group graduated six percent more students in a four-year time span and seven percent more than any cohort previously.

Retention and graduation data are also utilized to demonstrate improved student outcomes. Since 2007, the number of service learning courses has increased from thirteen to more than 129 in 2013. Other activities planned by the Office for Service Learning include providing information sessions and workshops for faculty; facilitating community partnerships; and providing additional service opportunities for students, faculty, and community partners. More longitudinal and large-scale analyses are planned to better define the contribution that service learning courses make to student retention and graduation and to predict the factors that best predict student success.

Community Service

The Office for Civic Engagement hosts activities that provide students with an opportunity to participate in community service. With a goal to increase the participation and reach of the events, results are as follows:
<table>
<thead>
<tr>
<th>Event</th>
<th>Location</th>
<th>Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summer Service (June)</td>
<td>Medici Project in Atlanta, GA</td>
<td>8 students; 2 staff</td>
</tr>
<tr>
<td>Fall Civic Engagement Fair</td>
<td>UAB Mini Park</td>
<td>169 students; 1 staff; LSC members; 48 agencies participated</td>
</tr>
<tr>
<td>September Service Madness</td>
<td>Commons Fountain Area/Various nonprofits in Birmingham, AL</td>
<td>72 students; 1 staff; LSC members</td>
</tr>
<tr>
<td>October Monthly Service</td>
<td>Brother Bryan Mission</td>
<td>12 students; 1 staff; LSC members</td>
</tr>
<tr>
<td>Into the Woods</td>
<td>Sipsey Wilderness Area (Bankhead National Forest)</td>
<td>Partnered with Campus Rec. Outdoor Pursuits</td>
</tr>
<tr>
<td>Hunger and Homelessness Awareness Week</td>
<td>Film Screening and Discussion: Heritage Hall 121, Empty Bowls: Blazer Hall RLC Stop Hunger Now</td>
<td>Film: 76 participants Empty Bowls: 107 Stop Hunger Now:101</td>
</tr>
<tr>
<td>Into the Streets</td>
<td>UAB Campus Green/ nonprofits in Birmingham</td>
<td>770 students; 3 staff; LSC members; 28 agencies</td>
</tr>
<tr>
<td>Meal Plan Event</td>
<td>UAB Diner</td>
<td>40 meals donated</td>
</tr>
<tr>
<td>Angel Tree</td>
<td>CRCT 190 Blazer Hall RLC</td>
<td>95 angels adopted</td>
</tr>
<tr>
<td>Three Ongoing Service Weeks</td>
<td>CRCT then depart to nonprofits</td>
<td>5 sites; 113 students</td>
</tr>
<tr>
<td>Week 1: Three Hots and Cot</td>
<td>Office Hours: CRCT 190 Meetings: Heritage Hall 426</td>
<td>12 members</td>
</tr>
<tr>
<td>Week 2: Grace House Ministries</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Week 3: Red Cross, South Hampton Elementary School, Ronald McDonald House</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leadership and Service Council (LSC)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Spring Civic Engagement Fair</td>
<td>Campus Recreation Center Court</td>
<td>175 students; 35 organizations</td>
</tr>
<tr>
<td>MLK Day of Service</td>
<td>Campus Recreation Center Court</td>
<td>519 volunteers (315 UAB, 114 Miles College, 90 Lawson State)</td>
</tr>
<tr>
<td>February Monthly Service</td>
<td>McWane Science Center</td>
<td>14 students; 1 staff</td>
</tr>
<tr>
<td>Into the Streets</td>
<td>Campus Green</td>
<td>441 students; LSC Students; 16 sites</td>
</tr>
<tr>
<td>Blazers on Break</td>
<td>Habitat for Humanity (Sumter, SC)</td>
<td>24 students; 3 staff</td>
</tr>
<tr>
<td>Justice Week</td>
<td>April 7: Slavery Around the World (Visual)</td>
<td>LSC partnered with International Justice Mission on two events during Justice Week. The two events were the visual and the documentary.</td>
</tr>
<tr>
<td></td>
<td>April 8: Sex Trafficking Around the World (Documentary)</td>
<td></td>
</tr>
<tr>
<td>April Monthly Service</td>
<td>Color Me Rad 5K (Benefiting Ronald McDonald House) at Hoover Met</td>
<td>14 students; 1 staff</td>
</tr>
<tr>
<td>Meal Plan Event</td>
<td>Diner</td>
<td>100 meals donated</td>
</tr>
<tr>
<td>Operation HOPE</td>
<td>UAB Campus</td>
<td>LSC partnered with various groups on this project.</td>
</tr>
<tr>
<td>Three Ongoing Service Weeks</td>
<td>Meet in CRCT Lobby and then depart to various nonprofits in Birmingham, AL</td>
<td>4 sites; 69 students Week 1: Woodlawn YMCA and Community Kitchen (entire week cancelled due to snow) Week 2: Greater Birmingham Humane Society Week 3: Exceptional Foundation</td>
</tr>
<tr>
<td>LSC</td>
<td>Office Hours: CRCT 190 Meetings: CRCT 190</td>
<td>11 members (1 Co-Director of Social Change committee resigned in January 2014)</td>
</tr>
</tbody>
</table>

Other results include the following:

- Increased Into the Streets participation by 100 students
- Hunger and Homelessness Awareness Week increased participation of schools from new subsets of students not normally involved in the Office of Civic Engagement events (partnered with UAB Service Learning, School of Public Health, School of Nursing, and Universities Fighting World Hunger)
- Ongoing Service Week: Week of February 17th; Record number of attendance as 63 students participated in three service days throughout the week for the Greater Birmingham Humane Society

The campus's Greek organizations also participate in service. In the spring of 2013, fraternities and sororities combined to raise over $35,000 for local and national philanthropies. Members spent over 4,000 service hours hours of community service at numerous sites benefiting UAB's campus, the Birmingham community, and nonprofit organizations.
Sources (In Order of Appearance)

[PDF] Goal I: Transforming Undergraduate Learning
[PDF] Goal II: Transforming Graduate and Professional Education
[PDF] Goal III: Research and Scholarship
[PDF] Goal IV: Service to Community and State
[PDF] Goal V: Community/Financial Support
[PDF] CBISA Projects (Since 2008)
[PDF] Service to Community Scorecard
[PDF] President's Higher Education Community Service Honor Roll Application 2014
[PDF] Approved ECR Courses
[PDF] Learning Outcomes Matrix for ECR
[PDF] 2005 QEP Impact Report
[PDF] Carnegie Community Engagement Partnership Grid 2014
[PDF] CPD Graduating Student Survey Outcomes
[URL] UAB Service Learning
[PDF] Tinto_1997
[PDF] Astin_2006
[PDF] Keup_2006
[PDF] NSSE 2008 Results (Revised 11-14-2008)
[PDF] Retention by Variables 2014
[PDF] Academic Engagement Results (Page 11)
3.3.2

Quality Enhancement Plan
The institution has developed a Quality Enhancement Plan that (1) demonstrates institutional capability for the initiation, implementation, and completion of the QEP; (2) includes broad-based involvement of institutional constituencies in the development and proposed implementation of the QEP; and (3) identifies goals and a plan to assess their achievement. (Note: This requirement is not addressed by the institution in its Compliance Certification.)

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☑ Not Applicable

Narrative
3.4.1

**Educational Programs: All: Academic program approval**

The institution demonstrates that each educational program for which academic credit is awarded is approved by the faculty and the administration.

**Judgment**

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

**Narrative**

UAB faculty and administrative review and approval of degree programs is a critical step in assuring appropriateness and coherence prior to submission to the Board of Trustees of the University of Alabama (the Board) and the Alabama Commission on Higher Education (ACHE), the coordinating agency for higher education in the state of Alabama. Board Rule 502 provides guidance for establishing new degree programs. A summary of this process is shown in the UAB New Program Approval Process. Online programs undergo the same review and approval process as programs offered in a traditional format.

The development of new academic programs (majors, concentrations or tracks within majors, certificates) at UAB involves multiple levels of review and approval. The process is identical for distance learning and traditional learning programs.

All program-related initiatives are developed within a school/college or department and undergo curricular review by that school/college. Once approved by the appropriate department chair and dean, undergraduate items are forwarded to the Vice Provost for Student and Faculty Success who transmits them to the Academic Program Review Council (APRC), the subcommittee of the Faculty Senate charged with overseeing review of undergraduate program issues and making recommendations to the Provost. Graduate program initiatives that have been approved by the appropriate department and school/college-level administrators are forwarded to the Dean of the Graduate School who ensures they are placed on the agenda of the Graduate Council Advisory Committee (ADCOM) that includes faculty representation from each UAB school and college. After review and approval by the APRC or ADCOM, program-related items are sent to the Provost for review and then to the President for final internal approval. At all stages of this process, consideration is given to how proposed programs (or aspects of programs) fit within the broad academic plan for UAB and how they support the institutional mission.

Recent new programs approvals include the Bachelor of Fine Arts in Music Theatre, Bachelor of Science in Biomedical Sciences, and the Master of Science in Management Information Systems.

**Sources** (In Order of Appearance)

- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 223)
- [PDF] New Program Approval Process
- [PDF] Approvals of BFA in Musical Theatre
- [PDF] Approvals of BS in Biomedical Science
- [PDF] Approvals of MS in Management Information Systems
Educational Programs: All: Continuing education/service programs

The institution’s continuing education, outreach, and service programs are consistent with the institution’s mission.

Judgment
- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative

The University of Alabama at Birmingham is deeply committed to continuing education, outreach, and community service to the local Birmingham community, the State of Alabama, and beyond. These priorities are evident in the UAB mission and vision. UAB’s mission is to be a research university and academic health center that discovers, teaches, and applies knowledge for the intellectual, cultural, social, and economic benefit of Birmingham, the state, and beyond. The UAB Vision is to be an internationally renowned research university — a first choice for education and health care.

The Vision, Mission, Goals, and Strategic Plan can be viewed at UAB Strategic Plan (internet access required). These Goals inform UAB’s continuing education, outreach, and service programs:

I. Provide education that prepares diverse students to lead, teach, provide professional services and become the prominent scholars and societal leaders of the future.
II. Pursue research that benefits society, spurs innovation and expands UAB’s capability to discover and share new knowledge.
III. Deliver the highest quality patient care that reflects our ability to translate discoveries into revolutionary therapies in one of the nation’s largest academic medical centers.
IV. Encourage partnerships that improve education, health and quality of life through service at home and around the globe.
V. Foster and stimulate innovation and entrepreneurship that contributes to the economic development and prosperity of Birmingham and beyond.

U.S. Census Bureau statistics show that 18.1% of Alabama’s population is living below the poverty level. Birmingham is the state’s largest metropolitan area and 28.9% of this urban population lives below the poverty level. Centrally located within the state, UAB’s local focus on global issues and culture of collaboration enable faculty, staff, and students to work closely with the community through reciprocal partnerships. The following examples of continuing education, service and outreach program activities demonstrate UAB’s strong commitment to its mission.

Continuing Education

An extensive portfolio of continuing education activities allows UAB to “teach and apply knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond.”

- The goal of the UAB School of Optometry Continuing Education is to provide quality continuing education, lifelong learning, and professional development for practicing optometrists. In the exploration and extension of knowledge, optometrists are provided with world-class continuing education and information useful in their daily practice and treatment of patients. UAB courses provide CE credits for use in re-licensure requirements.
- The School of Health Professions hosts the Center for Health Services Continuing Education. By 2014, over 10,000 people will have participated in programs sponsored or co-sponsored by the Center for Health Services Continuing Education. Healthcare executives around the country continually use the programs to keep their management and leadership skills sharp and up-to-date.
- The UAB Collat School of Business provides a variety of opportunities for the business community to obtain continuing education on best practices in business through the Executive Education Program. One example of topics addressed is Supply Chain Management, where the School has partnered with the Association of Operations Management to offer Certified in Production and Inventory Management (CPIM) and Certified Supply Chain Professional (CSCP) certification courses through UAB.
- The UAB Department of Continuing Dental Education in the School of Dentistry provides an educational curriculum that actively engages practicing dentists in acquiring new information and skills. The School’s faculty respond proactively to changing and advancing technology in dentistry by offering education programs, which provide the skills needed to maintain and enhance clinical competency. This Department also provides educational opportunities for dental health care professionals which meet requirements set by the Alabama Board of Dental Examiners.
- The UAB Division of Continuing Medical Education (CME) offers international, national, and local lifelong learning opportunities for physicians in practice. In addition to web-based courses, UAB CME also offers the opportunity for continuing professional development through the Deep South CME Network, participation in educational research projects, and other performance improvement and reflection-on-practice activities.
- The UAB School of Nursing’s Office of Professional Development offers educational programming, delivered through a variety of mediums, which meets the professional needs of nurses and others. In particular, the educational programming addresses vital health and healthcare concerns in Alabama, nationally, and internationally.
- The UAB School of Public Health is home to the Deep South Center for Occupational Health and Safety, which offers professional development programs to meet the continuing education needs of professionals working in occupational health and safety.
• Working with the academic units, the **UAB Division of eLearning and Professional Studies**, branded as UAB Online, offers totally online interdisciplinary continuing education to the global community. Professional studies certificate programs and courses are offered in Fundamentals of Accessible Online Teaching, Learning, and Communication; ADA Professionals Training; Electrical Safety Management; Mine Safety and Health Training; Voluntary Protection Program Excellence in Safety; and Workplace Violence Awareness and Prevention.

• The **UAB Regional In-Service Center (UABRIC)** is one of 11 regional in-service centers established by the Alabama Legislature in 1984 to enhance the training opportunities for public school personnel in critical need areas. The UAB Regional In-Service Center, operated through the UAB School of Education, provides free training, resources and services for teachers and administrators in eight school districts in Jefferson County (Bessemer, Birmingham, Fairfield, Jefferson County, Leeds, Midfield, Tarrant and Trussville School Systems).

### Service and Outreach

The UAB community engages with the greater community in all three points of the University's mission: the discovery, teaching, and application of knowledge. UAB provides extensive community outreach through its research centers, academic units, and the efforts of individual faculty members and students.

#### Centers

UAB has six centers with extensive community outreach activities:

• **The UAB Center for AIDS Research (CFAR)** is dedicated to its community outreach programs in AIDS education and awareness between the University and the surrounding community. The UAB CFAR offers an extensive array of community outreach programs, including support services in the UAB 1917 Clinic, Support Team Network Resources, the SHAPE (Sexual Health Awareness through Peer Education) program, and the Mary Fisher CARE Fund. The 1917 Clinic receives Ryan White HIV/AIDS Treatment Modernization Act funding to provide access to comprehensive health care for low-income, uninsured and under-insured HIV infected adults regardless of any pre-existing or non-HIV related condition(s).

• **The Minority Health & Health Disparities Research Center (MHRC)** has a significant number of community outreach programs, which work with organizations, institutions, and community leaders to establish trust and mutual partnerships for research in minority and underserved populations. The Center has provided $1.24 million in seed money to UAB investigators to help jumpstart careers fighting health disparities among races. In return, those investments have brought $15 million in additional research funds to UAB in health disparities research. The Center has helped other UAB investigators attain more than $100 million in federal grant funding to accelerate disparities research in breast cancer, diabetes, and heart disease. In recent years, the UAB MHRC has become a national leader in health disparities research, training and career development, and community outreach. It has trained more than 500 community health advisors serving in inner-city Birmingham and Alabama's Black Belt region, engaged more than 68,000 community members in Alabama and 14 other states in health education and promotion activities, provided preventative health screenings to more than 7,200 people, delivered an after school program for nutrition and physical activity to more than 600 under-served children in 13 Birmingham schools and to more than 1,500 children through health fairs, and significantly reduced disparities among lower-income women at higher risk for breast cancer. It has also built a pipeline of minority scholars and healthcare professionals. To date, 120 junior faculty and fellows, 115 graduate students, and 202 minority undergraduate students have graduated from MHRC’s training and career development programs.

• **The UAB Center for Community Outreach and Development (CORD)** offers students and teachers from grades K-12 in-depth, hands-on, inquiry-based science experiences both during the school year and in more intense summer programs. Students experience these programs at their Birmingham area schools, at CORD's GENEius and LabWorks classrooms at the McWane Science Center, and in CORD's laboratory classrooms. Through the Alabama Math and Science Initiative (AMSTI), CORD partners with the UAB School of Education, UAB Alabama Hands-On Activity Science Program (ALAHASP), Trussville City Schools, and the Alabama Department of Education to improve math and science teaching in 78 elementary and middle schools in Jefferson County. Faculty gain awareness of teaching and conditions in K-12 schools, gain experience with inquiry-based instruction, and learn application strategies of new pedagogies in higher education instruction. UAB students learn techniques in inquiry-based instruction and gain tools necessary to advocate for excellence in instruction. Over 400,000 students in grades pre-K through 12 receive instruction by AMSTI-certified teachers two times per day (once in math and once in science) every school day.

• **UAB’s Department of Cell, Developmental, and Integrative Biology** participates in the American Physiological Society's outreach activities which engage local children from kindergarten to fifth grade in a variety of hands-on activities aimed at teaching them about the pulmonary, cardiovascular, and gastrointestinal systems.

• **The UAB Sparkman Center for Global Health** was established in 1979 by a congressional appropriation through the United States Agency for International Development as the John J. Sparkman Center for International Public Health Education. The mission of the Sparkman Center is to contribute to solutions of health problems in developing countries through graduate-level public health education, research, and training programs. These programs are organized collaboratively with academic institutions, international agencies, and health ministries within the host country. Additionally, the Center works to enhance the capacity of the UAB community to engage, prepare, and support current and future professionals in a global agenda.

• **The UAB School of Nursing and the Sparkman Center** collaborate with a number of organizations in Zambia and the University of California in San Francisco, Samford University, the World Health Organization, the University of Iowa, and other partners to increase the quality in healthcare and healthcare access in Zambia. They prepare nurses for advanced roles in support of patients with HIV and AIDS; reduce health disparities in Zambia; address global health needs by strengthening education of healthcare professionals; provide access to digitized nursing resources; and support a professional exchange program between health professionals and faculty in Malawi, Zambia, Alabama, and San Francisco.

### Collaborations and Partnerships

The Schools of Medicine, Nursing, Optometry, and Dentistry have extensive efforts in the area of community engagement, as is fitting for academic units training care providers. Students in these four schools have conducted many community engagement efforts.
• Students in the UAB School of Dentistry (SOD) serve a growing population of people for whom getting dental care poses serious challenges, and they are expanding their efforts each year. SOD students now operate Alabama’s only retirement community-based dental clinic and opened a new dental clinic to care for underserved children. Also in 2013, a collaborative effort between the SOD and the UAB School of Public Health has resulted in the establishment of a part-time dental clinic for the underserved in the historic town of Pine Apple in Wilcox County, Alabama.

• The School of Medicine is heavily engaged in community outreach. The accreditation standards of the Liaison Committee on Medical Education state, “Assess the planned availability of opportunities for medical students to engage in service learning and community service activities, including the adequacy of institutional support for medical student participation.” Equal Access Birmingham (EAB), a student-run initiative in the Office of Undergraduate Medical Education, conducts health screenings for the locally underserved population in partnership with M-Power Ministries. The UAB School of Medicine partnered with the Church of the Reconciler, Jefferson County Housing Authority, and EAB to open a free basic primary care clinic to residents in the Jefferson County Housing Authority Shelter Care Plus program. Medical students plan, staff, and manage the Clinic with funds raised at the annual School of Medicine Variety Night.

• Students in the UAB School of Nursing perform free health assessments and screenings through multiple locations in Greater Birmingham. One such partnership is through the Foundry Rescue Mission and Recovery Center. In 2013, students reopened a health clinic at The Foundry and began seeing patients. Nursing faculty, students, and other undergraduate students provide in-kind support to provide hundreds of low-income individuals affordable health care.

• The School of Optometry provides a wealth of educational outreach opportunities for its clinical students through formal contracts to provide care to unaffiliated locations such as through health centers of the Jefferson County Department of Health where faculty and students frequently volunteer. The School provides eye care to the homeless in Birmingham as well as to the citizens of Alabama’s Black Belt region. Clinical professors and their students cross international boundaries through eye care missions that have taken place in Colombia, Costa Rica, Honduras, Haiti, The Dominican Republic, and Guatemala.

Statewide and Global in Scale
In 2012, UAB committed funding to support its engagement in the creation of an Area Health Education Center Program (AHEC). This initiative expands access to primary care — especially for rural and other under-served populations — in Alabama, a state that ranks 49th nationally for access. The School of Medicine dedicated a five-year, $5.25-million grant from the federal Health Resources and Services Administration to create a program that will work to recruit, support, and retain healthcare professionals in all 67 Alabama counties. The goal is to reduce health disparities by improving the quantity, quality, diversity, and distribution of Alabama’s healthcare workforce. The AHEC will provide the first statewide comprehensive effort, incorporating students and graduates from educational institutions across Alabama. The program also will reach out to young people in those communities who may consider a career in healthcare beyond their grasp. Studies have shown that patients in rural or underserved populations often respond more positively to healthcare professionals who are themselves products of those same environments. AHEC organizers intend to implement programs to target under-represented minority, rural, and other disadvantaged Alabama youth and adults for careers in the health professions. The review of the first six months of the West Central Alabama AHEC highlights the activities that have been and will be conducted.

The program will create five regional, community-based centers comprising all Alabama counties. Each AHEC will work to boost the numbers of practicing healthcare professionals in its area and develop programs to overcome barriers to care in those target populations. The AHEC program is a plank in UAB’s overall Academic Primary Care Plan to improve the health status of the people of Alabama. The plan provides increased scholarships and loan-repayment assistance for medical students pursuing a career in a primary care field. The plan also enhances the primary care curriculum and recruitment of students interested in primary care and rural medicine.

Partner organizations involved in the AHEC Advisory Committee are UAB Huntsville Regional Medical Campus, University of Alabama, University of Alabama in Huntsville, University of South Alabama, Samford University, Auburn University, Alabama College of Osteopathic Medicine, Alabama Department of Public Health, Alabama Department of Economic and Community Affairs, Alabama Department of Education, Alabama Hospital Association, Alabama Rural Health Association, Alabama Rural Development Office, Morehouse School of Medicine, Alabama Post-Secondary Education Chancellor’s Office, and the Alabama Primary Health Care Organization.

• On a global scale, UAB is a member of the Clinton Global Initiative University (CGI U) Network which is a consortium of colleges and universities that support, mentor, and provide seed funding to student innovators and entrepreneurs in one of five of CGI U's focus areas: Education, Environment and Climate Change, Peace and Human Rights, Poverty Alleviation, and Public Health.

• Cities for Life is a diverse and innovative pilot project aimed at making Birmingham a model city nationally for treating people with diabetes. UAB’s Department of Family & Community Medicine, Diabetes Research and Training Center, and HealthSmart are working with the City of Birmingham, YMCA of Greater Birmingham, and the American Academy of Family Physicians Foundation for this clinic-community pilot project. The project is built on collaborations to create an environment that encourages healthy lifestyles and disease management. The program aims to achieve these measures by linking residents living with or at risk for diabetes with available community resources. More than 40 community groups and citizens have signed on to be part of the project. MyDiabetesConnect.com (internet access required) was launched to invite more to participate. Birmingham was chosen for the pilot program in part because of the high occurrence of diabetes and because of the collection of medical expertise and resources UAB provides and the relationships created with other community engagement groups. This has resulted in many grassroots programs needed to leverage the collective strength of Birmingham’s medical neighborhood.

• Through the Livable City project, the City of Birmingham, the UAB School of Medicine’s Minority Health and Health Disparities Research Center (MHRC), and the Sustainable Smart Cities Research Center partner on projects such as energy efficiency and city planning that accounts for a more "livable" city. This project brings together multidisciplinary faculty with diverse expertise (green construction materials; sustainable building and design concepts; social impacts of technology; modeling and simulation; medical
sociology, health informatics, and social psychology; public health, emergency preparedness and response, and community resiliency; and government and public policy) to develop tools and methods for sustainable infrastructure design. The goal is better city infrastructure and the revitalization of the urban core into a healthier community. This is a new project, but a myriad of educational outreach opportunities have resulted, including the Sustainable Cities Youth Champions, middle school students who learn and implement environmental strategies.

- The UAB/Lakeshore Research Collaborative partners the Lakeshore Foundation and the UAB School of Health Professions to improve health outcomes of disabled persons by developing and growing assistive technologies and programs.

- The UAB Center for Clinical and Translational Science (CCTS), in partnership with One Great Community, sponsors the annual Community Health Innovation Awards (CHIA). This grant competition challenges any Birmingham area resident or any local 501(c)3 nonprofit organization to solve a health-related issue of interest to them. Grant funding to support winning projects ranges from $5,000 to $25,000, depending on the project’s size and scope. A total of $50,000 is distributed each year. The awards are a collaborative effort sponsored by five UAB Centers and Schools.

- A collaboration between the School of Education and the College of Arts and Sciences created The Red Mountain Writing Project (RMWP). Founded in 2004, the project, is dedicated to helping teachers at all grade levels find and adopt innovative strategies for literacy instruction. This project is a local affiliate of the National Writing Project. The motto of the National Writing Project is “teachers teaching teachers,” and the mission is to provide a forum for teachers of all grade levels and in all content areas to study and develop new and innovative strategies for literacy instruction. The Red Mountain Writing Project has had a direct impact on over 100 teachers from North-Central Alabama through its annual Invitational Summer Institute, and those teachers (now called “fellows” of RMWP) have created and implemented new professional development opportunities for hundreds more teachers in their service areas. Hundreds of middle and high school students have benefited from the summer writing camps and area youth writing contests. In 2012, the RMWP awarded four public-school grants of $1,000 each to bring new digital tools into local classrooms.

- Through the Greater Birmingham Mathematics Partnership, the UAB Department of Mathematics, Birmingham-Southern College and seven core partner school systems improve mathematics education in the greater Birmingham region and contribute to better mathematics teaching and learning. Teachers of middle grades mathematics participate in professional development that deepens content and pedagogical knowledge and improves mathematical dispositions.

- ArtPlay, the education and outreach initiative of UAB’s Alys Stephens Performing Arts Center, endeavors to educate, inspire, and nurture creative growth and self-expression in people of all ages by providing innovative arts education programming in a collaborative and holistic environment. Community partners with UAB in ArtPlay include the Birmingham Museum of Art, the Alabama Symphony Orchestra, the Alabama Ballet, UAB College of Arts and Sciences, and Music Therapy of Alabama.

- ArtReach, one of ArtPlay’s newest endeavors, is a collaborative venture between ArtPlay and the YWCA of Central Alabama at YWoodlawn. With funding from local supporters, ArtReach provides high-quality free arts programming for the residents of YWoodlawn through a series of classes and programs benefiting children and adults.

- UAB’s fundraising efforts also enabled the launch of ArtCare, a program that engages older residents of Birmingham-area independent- and assisted-living facilities in health improvement and life-enhancing activities through the arts. Programs include art, music, and movement classes, as well as theater with The Seasoned Performers, a nonprofit company that offers opportunities for participation in theater to senior adults. ArtCare is currently in seven independent- and assisted-living facilities.

- Since 1988, UAB has sponsored the Donaldson Lecture Series at the Donaldson Correctional Facility, a maximum security men’s prison in northwest Jefferson County, Alabama. Its inmate population is largely men with life sentences or those classified as violent repeat offenders. Donaldson has the largest segregation (solitary confinement) unit in the state and was built primarily to house this sector of the inmate population. Twice a month, UAB faculty and staff volunteer to give general-interest talks at the prison. The success of the series has been due to the generosity of UAB faculty and staff and also to the courtesy and inquisitiveness of the inmates. Lecturers have occasionally gone on to run ancillary events at the prison, including a book discussion group and an acting workshop.

Service Programs

UAB faculty and students volunteer countless hours in community service in furtherance of the institution’s mission.

- The UAB Benevolent Fund supports charitable, service, and health agencies by providing a mechanism for UAB employees to help those in need in the Birmingham area. Since its inception in 1984, employee donations to the fund have resulted in the donation of $30 million to independent charitable agencies, to the Community Health Charities (formerly the National Voluntary Health Agencies), to the United Way, and to UAB employees through the Employee Emergency Assistance Program. A council of UAB employees who are nominated and chosen by the Benevolent Fund Executive Board makes decisions regarding the solicitation and distribution of funds.

- UAB Outreach Abroad is a service group at UAB dedicated to philanthropic works at home and internationally. This involves taking groups of students to different countries several times a year on short-term service trips.

- Additionally, a student-driven program called Global Partners was developed in 2012. This organization fosters an awareness of international education by providing mentor programs to students preparing for a study away experience and creating a network of returning students to build career opportunities. The organization is divided into three components—study away mentoring, international career development, and international awareness.

- Community engagement is integrated into a larger number of study away experiences that have benefited the host locations as well as the greater UAB community. For example, as a prelude to a summer 2013 Study Away program in Gujarat and Rajasthan, India, UAB presented the Pathways to Peace film series as part of the College of Arts and Sciences Civil Rights Commemorative Series.
At UAB, students are motivated to engage with the community and address community issues. They also have many opportunities for leadership roles in community engagement. For example, UAB students inspired by the Civil Rights Movement collaborated with the StoryCorps Griot Initiative to collect interviews of Birmingham-area African-Americans in an effort to preserve their stories in an oral history collection.

Through the Office of Civic Engagement (internet access required) students have multiple leadership and decision-making roles in community engagement efforts. In 2012-2013, students planned, implemented, and assessed over 25 service projects. They included ongoing service projects such as the following:

- Down the Alley, a student-led day of service with 10 community organizations,
- civic engagement fairs
- Into the Streets, two days of service in which over 1,000 of UAB's students, faculty, and staff participated in 39 community service projects in the Birmingham area. Participation in Into the Streets leads to many students continuing their service commitment on a regular basis to help others and help our community become stronger.

The UAB Office for Equity and Diversity works to involve students and faculty in community engagement. In 2012, the UAB Minority Business Training & Development Program, under the UAB Office for Equity and Diversity, hosted the Girls in Business Network (GBN) camp. UAB faculty and students organized and ran the week-long camp. GBN provides educational and training sessions, mentoring opportunities, and motivational activities that promote successful entrepreneurship such as business and strategic plans, dressing for success, marketing, hiring personnel, accounting and bookkeeping, networking techniques, appropriate introductions protocol, business etiquette, and professional manners. Additionally, the camp provides information related to visiting other minority businesses, updating technology, recognizing new business trends, and utilizing the internet in business ventures.

In the School of Health Professions, physician assistant students have engaged in over 900 hours of community service with the following organizations:

- Ronald McDonald House,
- Meals on Wheels,
- M-Power Ministries,
- Cahaba Valley Health Care,
- Birmingham AIDS Outreach, and
- many local homeless shelters.

Students in the Department of Physical Therapy work weekly with adult clients at United Cerebral Palsy in Birmingham and serve as one-on-one counselors to children at Muscular Dystrophy Association of Alabama’s summer camp.

The College of Arts and Sciences, Schools of Education, Health Professions, Medicine, and Nursing partner with Birmingham and Jefferson County Schools annually for the Girls in Science and Engineering Day which is intent on inspiring young girls to excel in science, technology, engineering and math. Over 500 girls have learned about science through hands-on experiments from young and inspiring UAB female scientists.

For the past seven years, the UAB Collat School of Business' chapter of the National Association of Black Accountants (NABA) provided free tax preparation to greater Birmingham residents who qualify. The Volunteer Income Tax Assistance (VITA) program is sponsored locally by the United Way of Central Alabama (UWCA) and PNC Bank. VITA pairs volunteers with tax filers who earn less than $49,000, annually. This service provides students with experiential training as they provide a valuable service to Birmingham-area residents. This service provided by UAB students and faculty members in 2013 was valued at $4,320. The United Way VITA program, as a whole, secured more than $2 million in tax refunds for greater Birmingham residents. 2,310 tax returns were filed, and the average income of clients served was $20,680. It was estimated that $462,000 was saved in tax preparation fees.

Due to the success of the program, the UAB Collat School of Business was awarded two grants totaling $26,000 from PNC Bank that will continue its community work and launch a program that introduces high school students to business careers. The grant funds will be used to expand the program's reach by recruiting more student tax preparers and helping more Alabamians.

UAB tracks and measures its community engagement activities through the use of an online database, the Community Benefit Inventory System (CBISA) (internet access required). The University began utilizing the software in 2008. Since that time, over 374 individual projects have been noted. Annually, schools, centers, and research areas update the information. The metrics collected include program title, category, description, target population, school or entity, contact information, objectives, indicators, setting and format, and classification methods. The classification methods are customized to follow the scorecard areas of emphasis: Economic Impact; Intellectual Capital; Health Care; and Quality of Life. Discussed in further detail in Comprehensive Standard 3.3.1.5, the collection of service projects has allowed UAB to measure the sustainability of the many initiatives taking place across campus, throughout the community and beyond.

Sources (In Order of Appearance)

- UAB Strategic Plan
- School of Optometry Continuing Education
- School of Health Professions Center for Health Services Continuing Education
- Collat School of Business Executive Education
- Collat School of Business Executive Education (Page 2)
3.4.3

Educational Programs: All: Admission policies
The institution publishes admissions policies consistent with its mission.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

UAB’s mission is to be a "research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond." As such, it must have a well-prepared, diverse student body at all degree levels that can be successful in a wide range of academic endeavors. These admission standards have been set to only enroll students with a high probability of academic success who, thus, will be able to discover and apply knowledge.

These student bodies include undergraduate, graduate, and health professional school students, each subject to appropriate admission requirements, policies, and procedures. In addition, some undergraduate programs in the College of Arts and Sciences and the Schools of Business, Education, Engineering, Health Professions, and Nursing accept students into their major programs only after they have completed a series of prerequisites and met certain additional admission requirements. Admission policies are the same whether a student plans to enroll in an on-campus program or one that is taught online.

Admission to Undergraduate Programs
The 2014-2015 Undergraduate Catalog outlines basic requirements for freshman, transfer, international, former UAB student, and other (post-baccalaureate, non-degree seeking, temporary, and transient) undergraduate admissions. The Admissions website provides the admission application, deadlines, requirements, and an option for checking the status of applications. Admission into and placement within the University is determined by the Office of Undergraduate Admissions utilizing the criteria approved by the Faculty Senate Academic Programs Review Committee (APRC) and UAB administration. Admission criteria are formulated based on student performance to ensure that students have the appropriate prerequisite courses or minimum GPA to progress toward a degree. Looking at historical performance data, standards are guided by factors that predict success within programs or majors. School and department level requirements are approved by the Dean upon recommendation of the faculty. Examples of additional admission requirements based on student success are (1) an audition for the Music program and (2) completion or eligibility to enroll in MA 105 - Precalculus Algebra for programs in the School of Engineering. Admission decisions are based on a number of factors including a previous record of satisfactory academic performance, strength of curriculum, and test scores. Admission to the University is valid for one academic year.

Prospective students currently attending high school may apply as early as the summer before their senior year. Tentative admission will be granted on the basis of ACT or SAT scores and high school records through the junior year. A final official transcript reflecting work completed in the senior year and confirmation of graduation will be reviewed before a student’s final admission. Applicants must earn a high school diploma to be eligible for admission. A General Equivalency Diploma (GED) may be considered if the applicant is 19 years of age or older and does not have a high school diploma.

Prospective students currently attending another college or university may apply one year prior to the date of the desired term of enrollment. However, tentative admission will be granted with no more than one term pending on the basis of an evaluation of coursework from all colleges and universities attended. A final official transcript reflecting work completed will be reviewed before a student’s final admission.

International students meeting UAB’s academic admission standards but not the language criteria may be granted contingent admission and granted up to two years to attain English proficiency as indicated by required test scores.

For the undergraduate programs listed below, additional requirements are in place:

- College of Arts and Sciences (Music, Neuroscience, Computer Science)
- School of Business
- School of Education (Teacher Education Program)
- School of Engineering
- School of Health Professions (Medical Technology, Nuclear Medicine Technology, Health Care Management)
- School of Nursing (BSN, RN-BSN Mobility Option)

Admission to Graduate Programs
General graduate admission policies and program requirements are published in the 2014-2015 Graduate Catalog and on the Graduate School website; both locations detail the admission process for degree- and non-degree seeking students, as well as those seeking readmission. The Graduate School has established general admission requirements, which are published on its website (internet access required). These criteria are:

- A recognized baccalaureate, graduate, or professional degree from a regionally accredited college or university, or an international equivalent based on a four-year curriculum.
- Applicants holding only a bachelor’s degree should have earned a minimum grade point average of 3.0 (B average) in all Junior and Senior level course work. Most programs require applicants to provide scores from a standardized aptitude examination, such as the GRE, MAT, or GMAT.
Applicants should have an undergraduate major acceptable in content and quality to the selection committee of the program to which they are applying.

For international students whose first language is not English, a minimum score of 550 on the paper version, 213 on the computer version, or 80 on the internet-based version of the Test of English as a Foreign Language (TOEFL), or a minimum score of 6.0 - 6.5 on the IELTS test is recommended.

Each graduate program sets its own standards for admission which are included in the catalog listing for that program. In some cases, the catalog will cite a website for current standards, such as Art Education. Program website information may also include admissions information; examples are the Department of Biology, School of Nursing, and Graduate Biomedical Sciences. Program standards generally are more specific with respect to (1) undergraduate training, (2) professional experience, and (3) aptitude test and score. Specific catalog examples are Counselor Education, Biology, English, Applied Mathematics, Cancer Biology theme of the Graduate Biomedical Sciences, Business Administration, Advanced Safety Engineering Management Track of the Master of Engineering, Nursing (Ph.D.), Genetic Counseling, and Epidemiology.

Prospective students submit web-based applications through the Graduate School Apply Yourself Application Network service for most programs. Applications to degree-seeking graduate programs in the School of Public Health, with the exception of Ph.D. programs, M.S.P.H.-Clinical Research, M.S.P.H.-Outcomes Research, and joint programs such as the M.P.H./M.B.A., are submitted through SOPHAS, a centralized application service operated by the Association of Schools and Programs of Public Health. Students interested in applying to the School of Nursing as a Post-Masters Teaching Certificate or Clinical Research Management Certificate student apply directly to the School of Nursing.

The Graduate School recognizes two categories of graduate students, degree-seeking and non-degree-seeking (NDS). Degree-seeking graduate students are those accepted into a specific graduate program to work toward a specific advanced degree. Each degree-seeking application is first reviewed by the Graduate School to ensure that general admission requirements have been met. Then, the faculty of the graduate program to which the applicant has applied review the application for its program-specific requirements. Graduate programs make an admissions recommendation to the Graduate School Dean. NDS graduate students are those who do not wish to pursue a graduate degree at UAB or those who wish to begin graduate study before being admitted to a degree program. NDS applications are reviewed and admission approved by the Graduate School Admissions Office.

Students lacking specific qualifications may be admitted to graduate programs contingent on remediation of specific deficiencies within a specified period of time upon recommendation by the graduate program director and approval by the Graduate School Dean.

Admission to Professional Programs

Admission to the professional programs in the Schools of Dentistry (internet access required), Medicine (internet access required), and Optometry (internet access required) are managed by units within those Schools. Descriptions of prerequisites and admission test score requirements, selection procedures, and other admission information is thoroughly detailed on program-specific websites. Applications for these programs are submitted to centralized application services which allows students to submit applications to multiple programs and allows for more efficient processing of applications.

Sources (In Order of Appearance)

- 2014-2014 Undergraduate Catalog (Page 13)
- 2014-2014 Undergraduate Catalog (Page 14)
- 2014-2014 Undergraduate Catalog (Page 15)
- 2014-2014 Undergraduate Catalog (Page 16)
- Undergraduate Admission
- 2014-2014 Undergraduate Catalog (Page 166)
- 2014-2014 Undergraduate Catalog (Page 95)
- 2014-2014 Undergraduate Catalog (Page 130)
- 2014-2014 Undergraduate Catalog (Page 232)
- 2014-2014 Undergraduate Catalog (Page 211)
- 2014-2014 Undergraduate Catalog (Page 255)
- 2014-2014 Undergraduate Catalog (Page 275)
- 2014-2014 Undergraduate Catalog (Page 277)
- 2014-2014 Undergraduate Catalog (Page 279)
- 2014-2014 Undergraduate Catalog (Page 283)
- 2014-2014 Undergraduate Catalog (Page 287)
- 2014-2015 Graduate Catalog (Page 11)
- Graduate Admission
- Graduate School - General Admission Requirements
- Graduate School General Admission Requirements
- 2014-2015 Graduate Catalog (Page 74)
- Biology Admission
- Nursing Admission
Graduate Biomedical Sciences Admission
2014-2015 Graduate Catalog (Page 77)
2014-2015 Graduate Catalog (Page 30)
2014-2015 Graduate Catalog (Page 33)
2014-2015 Graduate Catalog (Page 40)
2014-2015 Graduate Catalog (Page 50)
2014-2015 Graduate Catalog (Page 66)
2014-2015 Graduate Catalog (Page 89)
2014-2015 Graduate Catalog (Page 125)
2014-2015 Graduate Catalog (Page 106)
2014-2015 Graduate Catalog (Page 143)
School of Dentistry Admissions
School of Medicine Admissions
School of Optometry Admissions
Educational Programs: All: Acceptance of academic credit

The institution publishes policies that include criteria for evaluating, awarding, and accepting credit for transfer, experiential learning, credit by examination, advanced placement, and professional certificates that is consistent with its mission and ensures that course work and learning outcomes are at the collegiate level and comparable to the institution’s own degree programs. The institution assumes responsibility for the academic quality of any course work or credit recorded on the institution’s transcript. (See the Commission policy “Collaborative Academic Arrangements: Policy and Procedures.”) **(Note: Although not listed as a reference in the Principles of Accreditation, see also the Commission policy “The Quality and Integrity of Undergraduate Degrees.”)**

**Judgment**

- [ ] Compliance
- [ ] Partial Compliance
- [ ] Non-Compliance
- [ ] Not Applicable

**Narrative**

The general policies that describe how non-UAB credit can be applied to a student’s UAB transcript are published in the 2014-2015 Undergraduate Catalog and 2014-2015 Graduate Student Handbook.

**Transfer Credit**

The UAB 2014-2015 Undergraduate Catalog indicates that collegiate coursework earned at post-secondary institutions that are fully accredited (or in candidacy status) by regional accrediting associations will be considered for transfer to UAB. This information is repeated in an abbreviated format on the Transfer Center website (internet access required).

**Undergraduate Transfer Credits**

The Alabama Articulation and General Studies Committee (AGSC) (internet access required) was created in 1994 through State Legislation to simplify the transfer of course credit between SACSCOC-accredited public higher education institutions in the state. The AGSC has developed and implemented a statewide general studies and articulation program that facilitates the transfer of coursework from all public two-year colleges to four-year universities in the state and continues to serve as a monitoring committee for the articulation program. AGSC Academic Committees are comprised of institutional representatives who represent their disciplines. The Committees are responsible for the review and approval of new and revised courses proposed by the institutions that meet general education requirements. The AGSC’s Statewide Transfer and Articulation Reporting System (STARS) provides lists of approved basic general studies courses for all of the public four-year institutions of higher education and the two-year college system in Alabama. This web-accessible database system provides guidance and direction for prospective transfer students.

Courses from other regionally-accredited institutions are articulated through the UAB Transfer Center. Staff members make an initial determination if a course closely meets the description of an existing UAB course or the general description of Core Curriculum Areas II-IV for 100- and 200-level courses, such as the evaluation of 100-level chemistry courses. Exceptions to this review are made for 100- and 200-level courses that meet a specific degree requirement in a school/college in which case the determination is made at the department level. For example, AC 200 - Principles of Accounting I and AC 201 - Principles of Accounting II are evaluated by the Department of Accounting, and Calculus courses are evaluated by the Department of Mathematics. In 2007, the evaluators met with program and department representatives to develop guidelines for evaluation of courses, such as course sequencing and identifying key words in course descriptions. In cases where no equivalent courses are identified, materials are forwarded to the appropriate department for review/evaluation. Transfer Center evaluators participate in CollegeSource Transfer Evaluation System (TES) webinars and receive annual training, including evaluation of international credits, at conferences offered by the American Association of Collegiate Registrars and Admission Officers, Alabama Association of Collegiate Registrars and Admission Officers, and Southern Association of Collegiate Registrars and Admission Officers.

Courses above the 200-level or specific to a school/college major requirement are forwarded to the academic departments by the Transfer Center for review. This review is shown for courses in Electrical Engineering (where no equivalent coursework was determined), Justice Sciences, Physics, and Theater. Decisions at the department level are made by faculty who teach the course or administrators who are familiar with the curricula. Course description, prerequisites, and student learning outcomes (if available) are the primary factors in determining if a course is equivalent to a UAB offering. Additional material (syllabi, course notes, examinations) may be requested if a determination cannot be made. Students who believe that a determination is incorrect may submit these additional materials to the academic department for review by the chair or designee through the Transfer Center. Transfer Equivalency tables of all prior articulation decisions are maintained to assure consistent application of credit and facilitate the student transfer process.

**Graduate Transfer Credits**

The 2014-2015 Graduate Student Handbook states in its requirements for master’s and doctoral degrees that previously earned graduate credit that has not been applied toward another degree (either at UAB or elsewhere) is eligible for transfer into the student’s current degree program. Ordinarily no more than 12 semester hours of transfer credit can be applied to a degree program. Acceptance of more than 12 hours requires approval by the program director, department chair, and Graduate School Dean. Examples of requests for transfer of more than 12 hours is provided for students in English and Pathobiology and Molecular Medicine. This credit can only be applied after the student has taken at least nine semester hours at UAB.

**Professional School Transfer Credits**

Transfer credit for the professional degree programs in Dentistry and Optometry are not accepted. The School of Medicine has limited opportunities for students to transfer, as described on its Admissions website. Only students who are in their third year who have
compelling reasons to transfer are considered for positions that become available due to attrition. To be given consideration for transfer, students must demonstrate:

- Academic achievements and other relevant characteristics comparable to those of the medical students in the class the transferring student would join including:
  - Similar premedical academic achievements including meeting our minimum MCAT score requirement and other minimum requirements at the time of admission to medical school
  - Medical school coursework compatible with the coursework of students at the level of the class to be entered
  - Students who have failed to keep pace with their medical school class, who are not in good standing at their current medical school or who have any academic or nonacademic problem against them will not be given consideration.

Alternative Credit

Alternative Credit Opportunities are discussed in the 2014-2015 Undergraduate Catalog. Credits earned in this way are recorded on the transcript with a grade of P. A GPS Example - AP Credit and GPS Example - IB Credit show how credit appears on both the student-visible record and the transcript. Such credits may not be used in repeating a course and may not be awarded for work equivalent to a course that is a prerequisite to a course already taken for credit. No more than 45 semester hours of alternative credit may be applied toward a degree.

All opportunities for earning credit outside the normal course format at the undergraduate level are:

- Advanced Placement (AP). The Advanced Placement Credit Table outlines the amount of credit awarded and the examination score required.

- College Level Examination Program (CLEP). The College Level Examination Program Credit Table specifies test eligibility.

- International Baccalaureate Credit (IB). The International Baccalaureate Credit Table specifies test eligibility.

- Credit by Examination (CBE). A degree-seeking student may petition to obtain credit for a course by taking an examination; however, not all programs will accept CBE. It is the student’s responsibility to verify the applicability of CBE courses for major/minor requirements. The relevant department must agree to create and grade the examination.

- Credit by Portfolio (CBP). A degree-seeking student may petition to receive credit for a course on the basis of a portfolio of information documenting knowledge of the course material. The chair of the appropriate department and dean of the school make the final decision on acceptability of the materials for credit. This decision is based upon demonstration of comparable knowledge and/or skills to students who successfully completed the course.

- Non-collegiate Courses. Credit may be awarded for non-collegiate courses in accordance with American Council on Education recommendations and approval of the appropriate department chair and dean.

- Credit for Military Experiences. UAB evaluates military service and educational experiences completed by active-duty military service and Coast Guard personnel. To request credit for military experience, students submit a military transcript for evaluation by the Military Science faculty. Without having taken any specific courses while in the military, a student can get credit for the institution's military science courses. UAB is an institutional member of Service Members’ Opportunity Colleges.

- Dante's Subject Standardized Tests (DSST). The DSST Credit Table specifies test eligibility.

Credit is not granted for life-experiences or work experience.

Alternative credit (non-transfer credit) is generally not considered for graduate and professional programs.

Study Away

Study away is defined in the 2014-2015 Undergraduate Catalog as "an academically sound program of study which takes place in a foreign location which shall be defined as any location outside the boundaries of the 50 United States of America" and "any academically sound program of study which takes place through domestic exchange programs such as the National Student Exchange or The Washington Center."

International Student Exchange/Study Abroad

Credits earned for approved study abroad programs are outlined in the 2014-2015 Undergraduate Catalog. They are applied to the student record in three ways, depending on the nature of the program. It should be noted that in all cases department/program faculty review for course equivalency prior to enrollment in these programs.

- Coursework completed in third party programs (such as University Studies Abroad Consortium, American Institute for Foreign Study, Global Semesters, GlobalLinks Abroad, Academic Programs International) are posted as transfer credit.

- Credit for coursework completed in programs offered at reciprocal exchange institutions (where UAB students are enrolled and pay tuition at UAB) are posted to the student record as UAB credit with a unique course prefix.

- UAB faculty-led student programs taught off campus are managed in the same manner as traditional offerings, where UAB credit is given upon completion of the program.

Domestic Student Exchange

Domestic student programs are offered through the National Student Exchange (NSE) and the Washington Center (TWC). Courses in these reciprocal programs are articulated by department/program faculty for UAB course equivalency prior to student enrollment. The 2014-2015 Undergraduate Catalog addresses posting of credits for these programs. Coursework taken through the NSE is articulated to UAB coursework and posted as UAB credit. Those completed through TWC are articulated to UAB coursework and are posted as transfer credit.
Sources (In Order of Appearance)

[PDF] 2014-2015 Undergraduate Catalog (Page 14)
[URL] Transfer Center website section on transfer credit
[URL] Alabama Articulation and General Studies Committee
[PDF] Alabama Articulation & General Studies Committee - STARS
[PDF] Request for Evaluation of Transfer Credit - Chemistry
[PDF] Request for Evaluation of Transfer Credit - Accounting
[PDF] Request for Evaluation of Transfer Credit - Mathematics
[PDF] Request for Evaluation of Transfer Credit - Electrical Engineering
[PDF] Request for Evaluation of Transfer Credit - Justice Sciences
[PDF] Request for Evaluation of Transfer Credit - Physics
[PDF] Request for Evaluation of Transfer Credit - Theater
[PDF] Transfer Credits (Page 3)
[PDF] Request for Graduate Transfer Credits - English
[PDF] Request for Graduate Transfer Credits - Pathobiology and Molecular Medicine
[PDF] School of Medicine - Advanced Standing Transfer Students
[PDF] 2014-2015 Undergraduate Catalog (Page 65)
[PDF] GPS Example - AP Credit
[PDF] GPS Example - IB Credit
[PDF] Advanced Placement Credit
[PDF] College Level Examination Program
[PDF] International Baccalaureate
[PDF] DANTES Subject Standardized Testing
[PDF] 2014-2015 Undergraduate Catalog (Page 76)
[PDF] 2014-2015 Undergraduate Catalog (Page 78)
Educational Programs: All: Academic policies

The institution publishes academic policies that adhere to principles of good educational practice. These policies are disseminated to students, faculty, and other interested parties through publications that accurately represent the programs and services of the institution.

Judgment

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative

Publication of Policies

The academic catalogs and handbooks are the primary manner in which University academic policies are communicated to students, other interested parties, and constituencies. Academic policies are available in the following locations:

- **2014-2015 Undergraduate Catalog** (entire catalog)
  - Admissions (including transfer credit policies)
  - Financial
  - Progress to Degree
  - Completion of Degree
  - Undergraduate Academic Experience
  - Core Curriculum
- **2014-2015 Graduate Student Handbook** (entire handbook)
  - General Academic Requirements
  - Requirements for Master's Programs
  - Requirements for Doctoral Programs
  - Ethics and Conduct
  - Financial
- **UAB Policies and Procedures Library**, an online searchable repository for all current university-wide policies and associated procedures. The [UAB Policies and Procedures Library](#) (internet access required) can be searched by title, keyword, responsible unit, or full text.
- School/college or program-specific student handbooks:
  - School of Education
    - Early Childhood and Elementary Education Policy Manual
    - Clinical Education Program Clinical Handbook
    - Field Experience Handbook
  - School of Nursing Student Handbook
  - School of Optometry Student Handbook and Academic Policy for the First Professional Degree Program
  - School of Public Health
  - Graduate Biomedical Sciences Student Handbook
- School/college or program-specific websites:
  - School of Health Professions (PDF) and [School of Health Professions Current Students](#) (internet access required)
  - School of Medicine (PDF) and [School of Medicine Student Policies and Procedures](#) (internet access required)

Review, Approval, and Adherence to Good Academic Practice

When catalogs are updated each year, it is the responsibility of the Office of the Registrar to review and update academic policies in these publications, as needed. The Graduate School is responsible for reviewing, updating, and publishing the **Graduate Student Handbook** annually. Academic policies specific to an individual school/college follow the school/college academic approval process and are ultimately the responsibility of the dean.

Review and approval of policies by committees composed of faculty and administrators experienced in higher education and subsequent administrative review and approval assures that policies adhere to good educational practice.

With respect to undergraduate programs, it is the responsibility of the Academic Programs Review Committee (APRC) of the Faculty Senate to review and propose changes to academic policies and procedures to the Provost as guided by the **APRC Constitution**. Voting members and alternate members of the APRC are elected by each academic unit with undergraduate programs through a faculty driven process. Non-voting, ex-officio members include representatives from the Office of the Provost, Sterne and Lister Hill Libraries, and others as the APRC Chair and Provost determine (such as the Registrar, Instructional Technology, Institutional Effectiveness and Analysis, and the Associate Provost of Assessment and Accreditation) to ensure close collaboration and coordination with offices implementing these academic policies. The Undergraduate Student Government Association appoints a member to serve on the committee in a non-voting capacity to provide student input on the formulation and modification of academic policies, as well as new programs.

An example of APRC action in this regard is the review of the First Day Attendance Policy. The APRC was asked by the Provost to consider removing this policy from the Undergraduate Catalog. The [APRC Report](#) on this matter details the process followed to receive
input from faculty, take a committee vote, and the resulting recommendation to keep the policy as stated in the catalog and to leave implementation and enforcement of the policy to the school/college or department. Also, the APRC in 2013 recommended that the Registrar be notified when academic units discontinue offering an undergraduate course that may affect other programs.

The Advisory Committee (ADCOM) of the Graduate Council, described in Graduate School Policies and Guidelines, is responsible for (a) advising the Graduate School Dean with regard to administrative oversight of graduate education and UAB graduate programs, (b) reviewing existing policies and procedures for efficacy and appropriateness, (c) proposing new policies and procedures as needed, and (d) reviewing and approving NISPs and full graduate program proposals for new programs. The ADCOM is comprised of representatives from each school/college that are elected for a term of three calendar years. The ADCOM has reviewed the Graduate Student Handbook verbiage on course repeats and clarified the description to allow programs to make the ultimate determination. The Committee also considered and approved a proposal to waive the Graduate Record Examination (GRE) requirement for the Master of Science in Sociology program as the waiver would not negatively affect the educational standards of the program.

In addition to the APRC and ADCOM, each school/college has mechanisms in place for reviewing and revising their policies:

- College of Arts and Sciences Curriculum and Educational Policies Committee
- Collat School of Business Undergraduate Curriculum Committee, the Graduate Curriculum Committee and the School-wide Curriculum Committee
- School of Dentistry Faculty Council
- School of Education Curriculum and Programs Committee
- School of Engineering Academic Affairs Committee
- School of Health Professions Academic Affairs Committee
- School of Medicine Executive Committee
- School of Nursing Admission, Progression, and Graduation Committee
- School of Optometry Academic Review Committee and the Dean’s Executive Committee
- School of Public Health Education Policy Committee and Admissions and Graduation Committee

Sources (In Order of Appearance)

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<td>School of Education Master of Arts Degree in Educational Leadership Residency Handbook</td>
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<td>School of Nursing Student Handbook</td>
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<td>School of Optometry Student Handbook</td>
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<td>School of Public Health Student Handbook</td>
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<td>Graduate Biomedical Sciences Student Handbook</td>
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<td>Faculty Senate Academic Programs Review Committee Constitution</td>
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<td>APRC Recommendations on Academic Policies</td>
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<td>Graduate School Policies and Procedures</td>
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<td>PDF</td>
<td>ADCOM Minutes - September 11, 2013</td>
<td>3</td>
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Educational Programs: All: Practices for awarding credit
The institution employs sound and acceptable practices for determining the amount and level of credit awarded for courses, regardless of format or mode of delivery.

Judgment
□ Compliance □ Partial Compliance □ Non-Compliance □ Not Applicable

Narrative

Definition of Credit Hour
The UAB definition of credit hour is included in the UAB Policies and Procedures Library and states:

"[A]n amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates not less than –

1. One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or
2. At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours."

This definition should be used in all courses at all levels (graduate, professional, and undergraduate) that award academic credit (i.e., any course that appears on an official transcript issued by UAB) regardless of the mode of delivery including, but not limited to, self-paced, online, blended, lecture, seminar, laboratory, and internship.

This definition should also be applied to new courses as well as revisions to existing courses requiring approval by a curriculum committee.

In its Operational Definitions, the Alabama Commission on Higher Education (ACHE), the coordinating board for higher education in the State of Alabama, defines credit hour as "a unit of measure representing the time and activity required for one hour of credit. Usually, this involves the equivalent of 50 minutes of instruction each week for a semester, trimester, or quarter." This definition is consistent with the Federal Definition. UAB applies this definition in determining the amount of credit awarded for courses.

Application of Credit Hour Policy to Courses Taught in Traditional Format
The UAB credit hour policy and the ACHE definition are applied to traditional courses which have a contact hour basis as follows:

<table>
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<tr>
<th>Semester Hours</th>
<th>Clock Hours per Term with Examination</th>
<th>Weeks per Term</th>
<th>Hours Minutes per Week</th>
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<tr>
<td>5</td>
<td>60.83</td>
<td>14</td>
<td>4 hrs 10 min</td>
<td>250</td>
<td>Fall and Spring</td>
</tr>
<tr>
<td>4</td>
<td>53.83</td>
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<td>3 hrs 40 min</td>
<td>220</td>
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</tr>
<tr>
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<td>37.5</td>
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<td>2 hrs 30 min</td>
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<td>Fall and Spring</td>
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<td>14.16</td>
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<td>9</td>
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<td>240</td>
<td>10-week Summer</td>
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<tr>
<td>2</td>
<td>25</td>
<td>9</td>
<td>2 hrs 30 min</td>
<td>150</td>
<td>10-week Summer</td>
</tr>
<tr>
<td>1</td>
<td>12.25</td>
<td>9</td>
<td>1 hrs 5 min</td>
<td>65</td>
<td>10-week Summer</td>
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<td>6 hrs</td>
<td>360</td>
<td>Summer A &amp; B</td>
</tr>
<tr>
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<td>52</td>
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<td>12 hrs 30 min</td>
<td>750</td>
<td>May Session</td>
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<tr>
<td>3</td>
<td>42</td>
<td>4</td>
<td>10 hrs</td>
<td>600</td>
<td>May Session</td>
</tr>
</tbody>
</table>

* Summer A and B terms are each seven weeks in length.

When laboratories are treated as separate courses, they are assigned one semester hour for 30-45 contact hours per semester.
The course scheduling system (Banner) enforces this contact hour table by requiring each course, which has credit hour associated with it, to utilize a section code (i.e., time slot) with the requisite contact hours.

**Application of Credit Hour Policy to Courses Taught in Blended/Online Format**

The credit hour policy is applied to blended/online courses based upon the amount of material that a student can reasonably master with a time commitment of "one hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work" per credit hour over the period of a semester.

Evidence of equivalence of topical coverage can be seen by comparing syllabi from courses that are taught both in a traditional, clock-based format and in an online/blended format. Examples of the following courses are given:

- **AC 580** - Advanced Financial Accounting: Traditional and Online
- **AST 105** - Extraterrestrial Life: Traditional and Online
- **ECY 300** - Survey of Special Education: Traditional and Online
- **JPA 101** - Introductory Japanese I: Traditional and Online
- **JPA 102** - Introductory Japanese II: Traditional and Online
- **MA 098** - Basic Algebra: Traditional and Online
- **MA 102** - Intermediate Algebra: Traditional and Online
- **MA 105** - Pre-Calculus Algebra: Traditional and Online
- **MBA 619** - IT and Business Strategy: Traditional and Online
- **MBA 637** - Operations and Supply Chain Management: Traditional and Online
- **PY 212** - Developmental Psychology: Traditional and Online

**Awarding Credit**

Course descriptions contained within the [2014-2015 Undergraduate Catalog](#) and [2014-2105 Graduate Catalog](#) indicate the level and number of semester hours that may be earned for each course.

**Academic Credit Levels**

Courses at the lower division level (100-299) are introductory courses usually taken during the freshman and sophomore years. Upper division level undergraduate courses (300-499) are generally taken during the junior and senior years. Courses taught at the 500, 600, and 700 level are designed for graduate students.

With the approval of the academic advisor, the undergraduate program director or department chair, and the instructor, UAB undergraduate students may be allowed to register for a graduate course at the 500 or 600 level. Credits earned by undergraduate students may be applied to either an undergraduate degree or a graduate degree, but not both. If the student is subsequently admitted to the Graduate School, use of this credit toward a graduate degree requires the approval of the graduate program director and the Graduate School dean. (The Graduate School does not give credit for any grade below a "C".) Credits that have been used toward the baccalaureate degree cannot be used a second time toward a graduate degree. Courses offered at the 600 level are intended primarily for students at the master's level, and courses numbered 700-799 are designed for students at the doctoral level.

**Determining Level and Credit Hours for Courses**

The decision on level of course is made by the program faculty who are knowledgeable in the applicable subject area during the course/curriculum development process and revised as necessary. Consideration is given to course content, rigor, depth, and prerequisites. This process occurs irrespective of the method of course delivery.

The decision the number of credit hours for a course is made by the program faculty who are knowledgeable in the subject area during the course/curriculum development process. Program faculty use professional judgement in determining the amount of material that a student can reasonably master with a time commitment of "one hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work" per credit hour over the period of a semester. The credit hours assigned to comparable courses at other universities may also be a consideration. This process occurs irrespective of the method of course delivery.

Approval of course additions and modifications beyond the program level varies by school/college. However, in all cases, catalog changes are approved by departmental (usually chair) and school/college (usually associate dean) administration as well as the Registrar’s office.

**Sources** (In Order of Appearance)

- [PDF] Definition of Credit Hours
- [PDF] AC 580 (Traditional)
- [PDF] AC 580 (Online)
- [PDF] AST 105 (Traditional)
- [PDF] AST 105 (Online)
- [PDF] ECY 300 (Traditional)
- [PDF] ECY 300 (Online)
- [PDF] JPA 101 (Traditional)
3.4.7

Educational Programs: All: Consortial relationships/contractual agreements

The institution ensures the quality of educational programs/courses offered through consortia relationships or contractual agreements, ensures ongoing compliance with the Principles, and periodically evaluates the consortial relationship and/or agreement against the mission of the institution. (See the Commission policy “Agreements Involving Joint and Dual Academic Awards.”)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

UAB offers its students, as well as the students at other colleges and universities, a number of opportunities to take courses that are provided jointly in some way with other institutions of higher education. In some instances these opportunities come from formal consortia in which UAB participates and in other instances they come from one-to-one contractual agreements with other institutions. UAB is aware of the SACSCOC requirements for joint and dual academic awards that might arise from such programs, including in particular that qualified and competent faculty members agree on the content and teaching methodologies of courses and education programs and on the qualifications of the faculty members who teach in the programs.

Cooperative, Joint, and Shared Degree Programs in UA System

The Board of Trustees of The University of Alabama System encourages UAB and the other two institutions in the UA System, the University of Alabama in Tuscaloosa and the University of Alabama at Huntsville, to make efficient use of system-wide resources by collaborating on cooperative, joint, and shared programs. The University of Alabama System Board Manual, Rule 506 addresses definitions, proposal processes, and other guidelines. All such programs must be approved by the UA System Board of Trustees before implementation, after the usual approval within each institution for a new program offering by that school. In addition, Alabama law requires that the UA System submit plans for new such programs to the Alabama Commission on Higher Education (ACHE) for its review, evaluation, and approval. ACHE also requires periodic post-implementation reports.

UAB participates in several such programs as listed below. Evidence of approval by ACHE (which required previous approval by UAB faculty, administration, and UA System Board of Trustees), including a description of the program, is provided below.

A "cooperative" program, such as the master’s degree in Anthropology program shown below, is under the sponsorship of a single institution and the degree is granted under the seal of UAB. A "joint" program is one that is mutually sponsored by two or more campuses, leading to a single degree that is conferred by all participating institutions. See the programs listed below leading to graduate-level degrees in Applied Mathematics, Art History, Educational Leadership, Education and Public Health, Civil Engineering, Materials Engineering, Materials Science, and Nursing. These degrees are mutually sponsored by two or more institutions and lead to a single degree that is conferred by all participating institutions. Finally, "shared" programs are mutually sponsored by two or more institutions, but withdrawal of one or more of the partners does not preclude continuation of an independently sponsored program. UAB participates in two such programs as shown below, in African-American Studies and Computer Engineering.

Each joint or shared program has a director, who is chosen from among the program’s faculty, who come from the participating schools. Each such program also has a coordinating committee which is composed of an equal number of faculty representatives from each campus participating in the program. The coordinating committee is chaired by the director and sets the plans, policies, and administration of the program, in order to ensure the quality of the program.

Rule 506 of the UA System Board Manual requires that the director of joint or shared programs consult on an ongoing with the appropriate deans, and if necessary, the provost, on his or her campus. The provost may bring matters to the UA System Vice Chancellor for Academic and Student Affairs and the System Academic Council for review.

Board Rule 506 also requires that joint and shared programs be reviewed periodically, on a schedule established by the coordinating committee. These reviews are submitted to the UA System Office of Academic and Student Affairs (see example of transmittal email) and the results are then reported to the Presidents and the UA System Chancellor. Post-implementation reports to ACHE for the Ph.D. Program in Computer Engineering (shared) and the Doctor of Nursing Practice Program (joint) are included as examples.

Cooperative programs (only the MA in Anthropology currently) remain under the administrative control of the primary institution but are nonetheless reviewed periodically by the primary institution. These reviews are submitted to the UA System Office of Academic Affairs, and the results are reported to the Presidents and the Chancellor.
Other Consortial Relationships

Three agreements exist by which UAB and one or more other institutions make academic awards to students who study at UAB as well as at the other institution(s) but each institution grants a separate academic award bearing only its name, seal, and signature. These awards are known as "dual degree" awards under the SACSCOC policy.

<table>
<thead>
<tr>
<th>School/College</th>
<th>Degree</th>
<th>Major</th>
<th>Relationship and University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Engineering</td>
<td>Ph.D.</td>
<td>Civil Engineering</td>
<td>Joint program with the University of Alabama in Huntsville</td>
</tr>
<tr>
<td>Engineering</td>
<td>Ph.D.</td>
<td>Computer Engineering</td>
<td>Shared program with the University of Alabama in Huntsville</td>
</tr>
<tr>
<td>Engineering</td>
<td>Ph.D.</td>
<td>Materials Engineering</td>
<td>Joint program with the University of Alabama</td>
</tr>
<tr>
<td>Engineering</td>
<td>Ph.D.</td>
<td>Materials Science</td>
<td>Joint program with the University of Alabama and the University of Alabama in Huntsville</td>
</tr>
<tr>
<td>Nursing</td>
<td>D.N.P.</td>
<td>Nursing</td>
<td>Joint program with the University of Alabama and the University of Alabama in Huntsville</td>
</tr>
</tbody>
</table>

These agreements are five years in length and will be evaluated prior to renewal.

Dual Degree Programs in Engineering and Mathematics

Dual-degree programs of study have been established between the UAB School of Engineering and nine SACSCOC accredited four-year colleges and universities in the state of Alabama, which programs lead to a bachelor’s in engineering degree from UAB and a bachelor’s degree in Mathematics from the other college or university. These institutions with links to their agreements, are: Alabama State University, Birmingham-Southern College, Huntingdon College, Judson College, Oakwood College, Samford University, Spring Hill College, the University of Montevallo, and the University of West Alabama (formerly Livingston University). Under these agreements, undergraduate students attend the cooperative institution for approximately three academic years and then transfer to UAB. After completing academic requirements of the two cooperating institutions, students are awarded one of several designated engineering bachelor's degrees from UAB and a bachelor's degree in mathematics or other related degree from the other college/university.

The administration of the UAB School of Engineering ensures that students participating in these programs earn the required number and type of course credit hours for the designated bachelor’s degree in Engineering, and ensures that the requirements imposed by the coordinating institution for conferring its degree are satisfactory. The School of Engineering also has the power to change or terminate these arrangements under its agreements with these other institutions. The respective departments of the School of Engineering, as well as the dean, periodically review these programs to ensure their ongoing quality and viability.

BACHE Partnership

The Birmingham Area Consortium for Higher Education (BACHE) is a partnership among the five SACSCOC-accredited four-year colleges and universities in the greater Birmingham area: Birmingham-Southern College, Miles College, Samford University, UAB, and the University of Montevallo. BACHE offers a course exchange program that allows full-time, regularly admitted, degree-seeking undergraduate students, in good academic standing, to take one course per term at one of the member institutions at no additional charge. Students register through their home institution. Students can only take upper level courses that are beneficial to the student’s educational program and that are not taught at their home institutions. All these courses require articulation by UAB prior to the student’s registration, written approval by the student’s academic advisor and dean, approval by the host institution’s registrar, and can only be taken if space is available. Details of this partnership are outlined in the BACHE Cooperative Course Exchange Agreement and Addendum below.

The President and the Provost periodically review enrollment in the course exchange program, including the most recent enrollment data. By virtue of the program’s purpose and the controls placed on students’ ability to register for these courses, UAB believes that BACHE supports its educational mission and helps fulfill its obligations to its community.

Marine Environmental Sciences Consortium

In 1971, the Alabama Legislature created the Marine Environmental Sciences Consortium for the purpose of, among other things, providing educational programs in marine sciences on both the undergraduate and graduate levels, and encouraging pure and applied research in marine sciences and related areas. The consortium is a non-profit corporation the governing body of which consists of the presidents of the members of the consortium, which include UAB and 21 other four-year colleges or universities in the State of Alabama. The consortium operates primarily from the Sea Lab on Dauphin Island, a 17-mile barrier island near Mobile, Alabama that is surrounded by Mobile Bay, Mississippi Sound and the Gulf of Mexico. A description of the Dauphin Island Sea Lab is set forth below in an excerpt from its web page.
The governing body of MESC, which as noted above includes the President of UAB, appoints a program committee which oversees the academic programs of the consortium. Each member institution has a representative on this committee. UAB’s representative is currently Professor of Biology Ken R. Marion. This committee meets periodically to approve courses, including individual course syllabi. The committee also periodically evaluates the quality of course offerings, faculty, and programs.

UAB’s liaison (Dr. Marion currently) must approve all registrations for students to take courses at the Sea Lab. UAB students register for courses offered at the Sea Lab in the same manner as for other UAB courses, and their transcripts show that these courses are UAB courses. UAB’s liaison is the instructor of record for all courses, and enters grades into the UAB grade system. A sample description for a course offered at the Sea Lab shows the unique opportunity this consortium offers UAB students.

**Sources (In Order of Appearance)**

[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 251)  
[PDF] Provost Communication on Final Joint DNP Report for ACHE 2013  
[PDF] Computer Engineering Post Implementation Report  
[PDF] Final Joint DNP Report for ACHE Nursing  
[PDF] African-American Studies  
[PDF] Anthropology  
[PDF] Applied Mathematics (Page 16)  
[PDF] Art History (Page 3)  
[PDF] Educational Leadership (Page 53)  
[PDF] Health Education Promotion (Page 8)  
[PDF] Civil Engineering PhD Joint (Page 12)  
[PDF] Computer Engineering (Page 2)  
[PDF] Materials Engineering (Page 13)  
[PDF] Materials Science (Page 40)  
[PDF] Doctor of Nursing Practice  
[PDF] Alexandria University - PhD in Biomedical Engineering  
[PDF] Alexandria University - PhD in Civil Engineering  
[PDF] Georgian Tech University - PhD in Biomedical Engineering  
[PDF] Dual Degree Agreement - Alabama State University  
[PDF] Dual Degree Agreement - Birmingham-Southern College  
[PDF] Dual Degree Agreement - Huntingdon College  
[PDF] Dual Degree Agreement - Judson College  
[PDF] Dual Degree Agreement - Oakwood College  
[PDF] Dual Degree Agreement - Samford University  
[PDF] Dual Degree Agreement - Spring Hill College  
[PDF] Dual Degree Agreement - University of Montevallo  
[PDF] Dual Degree Agreement - University of West Alabama  
[PDF] BACHE  
[PDF] BACHE Consortia Agreement Participation 2011 to 2014  
[PDF] Dauphin Island Sea Lab, Alabamas Marine Science Institution  
[PDF] Neuroscience - Dauphin Island Sea Lab  
[PDF] BACHE Agreement and Addendum
Educational Programs: All:Noncredit to credit

The institution awards academic credit for course work taken on a noncredit basis only when there is documentation that the noncredit course work is equivalent to a designated credit experience.

**Narrative**

Noncredit to credit conversion is addressed at UAB as part of Alternative Credit Opportunities which are discussed in the 2014-2015 Undergraduate Catalog. Alternative credit (non-transfer credit) is generally not considered for graduate and professional programs. A request for consideration of alternate would require approval by the program director and Graduate Dean (graduate credit) or Dean (professional school credit).

UAB recognizes eight opportunities for earning credit outside the normal course format. Advanced Placement (AP), College Level Examination Program (CLEP), International Baccalaureate Credits (IB), and Dante’s subject Standardized Tests (DSST) meet proficiency requirements for UAB course credit as determined by UAB faculty and are not considered noncredit to credit. Credit by Examination (CBE) and Credit by Portfolio (CBP) are also credit mechanisms since they are administered by the same academic programs that teach the courses for which credits would be granted. Non-collegiate Courses and Credit for Military Experiences are the only noncredit to credit mechanisms available to UAB students.

**Non-collegiate Courses**

Credit may be awarded for non-collegiate courses in accordance with American Council on Education (ACE) recommendations and approval by the appropriate department chair and dean. Their reviews are conducted by college and university faculty based upon content, scope and rigor of an organization’s training programs, courses or examinations.

The ACE’s College Credit Recommendation Service (CREDIT) helps students obtain academic credit for formal courses and examinations taken outside of traditional degree programs. ACE CREDIT (internet access required) provides course equivalency information for courses offered by corporations, professional and volunteer associations, schools, training suppliers, labor unions, and government agencies.

**Credit for Military Experiences**

UAB evaluates military service and educational experiences completed by active-duty military service and Coast Guard personnel. UAB is an institutional member of Service Members’ Opportunity Colleges. To request credit for military experience, students submit a military transcript for evaluation by the UAB Military Science faculty. Without having taken any specific courses while in the military, a student can get credit for the institution’s military science courses. The Military Science faculty are current or former U.S. Army officers and are qualified to evaluate the equivalence of military training and UAB military science courses.

**Sources** (In Order of Appearance)

- [PDF] 2014-2015 Undergraduate Catalog (Page 65)
- [URL] ACE CREDIT
3.4.9

Educational Programs: All: Academic support services
The institution provides appropriate academic support services.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

In support of its mission to teach and apply knowledge, UAB provides academic support services to students at all levels as well as to provide professional development opportunities for members of the faculty. The services range from open, campus-wide programs to programs targeted and designed to meet specific student needs, skills, and abilities. Centers and programs targeted to meet the needs of students, faculty, and the overall campus learning environment include the following:

- Center for Teaching and Learning
- University Academic Success Center
- TRIO Academic Services, a Federal Student Support Services Program of the Office of Postsecondary Education
- Disability Support Services
- Medical Student Services
- Information Technology
- Academic Student Service Operations
- University Writing Center
- Learning Math Lab
- Academic Advising
- Counselling and Wellness
- UAB Care Team

Information on these services is made available to students in many ways, including the 2014-2015 Undergraduate Catalog, 2014-2015 Graduate Catalog, Direction (Student Handbook), and University websites. Specific catalog and handbook sections, snapshot views of websites, and active web links are as follow:

<table>
<thead>
<tr>
<th>Student Service</th>
<th>Catalog or Handbook Section</th>
<th>Website Snapshot</th>
<th>Web Link (requires internet access)</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Academic Success Center</td>
<td>Undergraduate Catalog Graduate Catalog</td>
<td>UASC Website Archive</td>
<td>UASC Website Active Link</td>
</tr>
<tr>
<td>University Writing Center</td>
<td>Undergraduate Catalog Graduate Catalog</td>
<td>UWC Website Archive</td>
<td>UWC Website Active Link</td>
</tr>
<tr>
<td>Math Learning Lab</td>
<td>Undergraduate Catalog</td>
<td>MLL Website Archive</td>
<td>MLL Website Active Link</td>
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<tr>
<td>Supplemental Instruction</td>
<td>Undergraduate Catalog Direction</td>
<td>SI Website Archive</td>
<td>SI Website Active Link</td>
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<td>TRIO Academic Services</td>
<td>Undergraduate Catalog Graduate Catalog</td>
<td>TAS Website Archive</td>
<td>TAS Website Active Link</td>
</tr>
<tr>
<td>Disability Support Services</td>
<td>Undergraduate Catalog Graduate Catalog</td>
<td>DSS Website Archive</td>
<td>DSS Website Active Link</td>
</tr>
<tr>
<td>Graduate School Professional Development Program</td>
<td>Graduate Catalog Graduate Student Handbook Direction</td>
<td>GSPDP Website Archive</td>
<td>GSPDP Website Active Link</td>
</tr>
<tr>
<td>Student Counseling - Counseling and Wellness Center</td>
<td>Undergraduate Catalog Graduate Handbook Direction</td>
<td>Counseling &amp; Wellness Center Website Archive</td>
<td>Counseling and Wellness Active Link</td>
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<td>Undergraduate Catalog Graduate Handbook Direction</td>
<td>Women's Counseling Center Website Archive</td>
<td>Women's Counseling Center Active Link</td>
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<tr>
<td>Center for Teaching and Learning</td>
<td>---</td>
<td>Center for Teaching and Learning Website Archive</td>
<td>Center for Teaching and Learning Active Link</td>
</tr>
</tbody>
</table>

Noel-Levitz Student Satisfaction Inventory

UAB has used the Noel-Levitz Student Satisfaction Inventory (for more information on this instrument, see Noel-Levitz SSI, internet access required) to obtain undergraduate student feedback on a wide range of UAB functions. Complete results for UAB (for 2004, 2008, and 2011) and UAB and National 4-Year Public Universities (2011) are included in this documentation, as well as simplified data showing only student satisfaction for UAB (2004, 2008, 2011) and National 4-Year Public Universities (2011). Student responses to seven questions relevant to this area are as follow:
Student satisfaction with the availability of tutoring services is essentially the same as the national four year public university average and has improved since 2004. The ratings of “adequacy of academic support services” is well above the national four year public university average and has also improved since 2004.

Student Satisfaction with five aspects of advising shows that UAB students are more satisfied with advising than their peers at public universities. All comparisons are to UAB students in 2011, with positive changes indicating improvement or a more favorable rating. Student satisfaction with these five areas of advising is higher than the national four-year public university peer group and has remained nearly constant since 2004.

### Academic Advising

#### Undergraduate Students

Academic advising is designed to assist students in identifying and achieving their educational and career goals. Specific guidance is given in selecting majors and choosing courses to satisfy degree requirements.

Each student is assigned an academic advisor based on their choice of school/college and major. A student is able to identify his/her advisor and obtain contact information in a variety of ways, including the 2014-2015 Undergraduate Catalog, BlazerNET, the student information portal, and the Student section of the UAB website (internet access required). Additionally, all advisors are listed in the online UAB directory. It should be noted that UAB uses a combination of professional advisors (staff) and faculty to advise undergraduate students.

BlazerNET, which is password protected, includes information and services that are private such as student records, transcripts, account balance, registration and financial aid. From 16-Aug-2013 to 15-Aug-2014, BlazerNET had 2,161,577 student logins from 44,793 unique, active students. (Students remain active for one year if not registered and, thus, active students will outnumber enrolled students.) GPS (which stands for Graduation Planning System, UAB's internal branding of DegreeWorks) is a recent addition to BlazerNET and has enhanced student access to information on coursework (both completed and in progress) and its application to degree requirements. GPS examples for a Biology major and an Accounting major demonstrate the ease at which students can see which courses that they have completed as well which courses will satisfy degree requirements. GPS has been widely utilized by students and advisors, as can be seen in Advisor Logins (18-Aug-2013 to 18-Aug-2014). From 16-Aug-2013 to 16-Aug-2014, 11,067 unique students logged into GPS 145,105 times. During that same period, 98 unique advisors logged in 29,943 times.

Advising appointments are made through individual contact with the advisor or through a centralized office, depending on the college/school or major. The standard advising appointment is 30 minutes in length and may be conducted in-person (preferred), by-phone, or email. Most appointments are scheduled, but walk-in times are available during high volume periods, such as drop/add and assigned time registration. Students are able to email their advisor at any time. Advising may be voluntary or mandatory depending upon the degree program, school, or at-risk level of the student. Mandatory advising is enforced through use of a Registration Access Code (RAC) which a student must obtain from his/her advisor before registering that semester. Students are encouraged to seek advisement on a regular basis.

Academic advisors meet with students throughout their time at UAB, beginning with New Student Orientation and continuing through graduation. They help students understand degree requirements, schedule planning, and course selection. They help students identify goals, provide information about potential areas of study, and develop educational plans. Advisors remain current on the University's academic policies and procedures and assist students in understanding how those policies apply to them. Advisors identify and refer students to a variety of academic and personal support services on campus. They teach students how to navigate online applications such as GPS and online registration.

### Graduate Advising

The Graduate School states in its Graduate Student Handbook that having a faculty advisor is a requirement for students pursuing a master's or doctoral degree. In addition, Graduate Study Committees consisting of at least five (for research-based doctoral students) or three (for Plan 1 master's students) UAB Graduate Faculty or appropriately qualified Ad Hoc members must participate in advising degree recipients and must approve their doctoral dissertations or master's theses. Ad Hoc committee members must not comprise more than 40 percent of a doctoral student's Study Committee or one-third of a master's student's Study Committee.

Medical Student Services offers to students pursuing the M.D. degree a holistic and developmental advising approach as the initial and
The University Academic Success Center (UASC)
The mission of the UASC is to promote student success, enhance student performance, and increase retention at UAB. The UASC helps students become better learners by providing Academic Coaching, Peer Mentoring, Academic Success Workshops, Peer Tutoring services, and courses designed to help students develop strategies for academic success. The UASC collaborates with academic units to offer Supplemental Instruction and partners with the University Writing Center and the Math Learning Lab.

Academic Coaching
Academic Coaching involves meeting with students in one-on-one sessions to assist them with developing or enhancing skill sets and achieving success. No student is the same, and it is understood that other factors of students' lives could have a profound impact in their academic performance, so sessions are individually designed for each student to address the following academic and/or personal issues (but not limited to these areas): academic unpreparedness; poor time management; lack of class attendance; too many credit hours; over involvement with activities; working too many hours; changing majors; difficulties with faculty or staff; transferring in/out; non-traditional student; first generation college student; feeling homesick; personal/family/social problems or crises.

The Academic Coach meets with students for an initial intake session to gather their demographic information and identify potential areas of improvement or concern. Within this session, students complete two assessments—a Study Skills Checklist which gauges students’ current study habits and attitudes, and a learning style assessment, the V.A.R.K., which is an acronym for the four learning styles: visual, auditory, reading/writing, and kinesthetic. Students are provided with suggested studying and note-taking tips for each type of learner. Students are also asked to define their strengths, along with short term plans throughout college and long term plans after graduation. These are taken into consideration as the student is instructed to set academic and/or personal goals, create action plans to achieve these goals, and determine motivational steps to stay the course.

Based upon the identified areas and goals, the Academic Coach will work with students to develop or enhance the following types of skills: study skills, effective note taking and writing skills, time management, stress management, exam preparation, and test taking skills. In addition, the Academic Coach may encourage students to take advantage of the other free in-house tutoring and supplemental instruction review sessions that UASC offers; UASC partners with the Math Learning Lab and the University Writing Center, so students are encouraged to take advantage of these services as well. The Academic Coach may also refer students to other Student Services departments and inform them about beneficial campus resources. Assessment of students’ progress is determined in follow-up sessions or email communications, where the Academic Coach provides the student with accountability on the improvement of their skills and progression to achieve their goals. The Academic Coach records a brief summary of each session, as well as action items to address with students in follow-up appointments; notes to indicate students’ attendance in Academic Coaching appointments are recorded in the UAB Client Relation Management System.

Peer Mentoring
The Peer Mentor program is designed to assist first year college students in their overall adjustment to college life. Students are paired with current juniors, seniors, or graduate students and meet with them at least once to two times per week. The program focuses on both the academic and social aspect of college. Helping students be successful, utilizing available resources at UAB, as well as making connections with one another are the main objectives of the program. The assessment tools used to evaluate the programs’ effectiveness involves both short and long-term perspectives. In the short-term, regular check-ins with mentoring pairs and careful monitoring of recruitment and training helps to keep the program on the right path. In the long-term, following up with previous mentees to determine how the relationship affected them can provide important data on the program's success. In addition, both mentors and mentees have a regular opportunity to evaluate the program. A monthly survey is administered for the mentee to provide feedback regarding their experience with the Peer Mentor program.

Academic Success Workshops
Academic Success Workshops are designed to provide students with an interactive experience to enhance their academic learning. Workshops are organized by topic and designed to meet the demands of college-level academics. Common topics presented are study skills, learning styles and strategies, time management, career searching, managing finances, and exam preparation. All workshops are facilitated by faculty or staff at UAB and are offered throughout the semester. Workshops are also offered in university housing, to fraternities and sororities, or to any student group upon request.

Workshops’ effectiveness is measured via surveys that all attendees are asked to complete. These surveys evaluate if the sessions met the attendee's expectations for learning, level of academic preparedness, and understanding of the content. The workshop presenter and overall presentation itself is also evaluated based upon content delivery, explanation and clarity, and future usefulness of any tools/strategies provided.

Peer Tutoring
The Peer Tutoring program provides quality, course-specific academic support to UAB undergraduate students. Tutoring sessions are tailored to meet undergraduate students' individual questions and needs and to foster independent learning. Peer Tutors are undergraduate students who have excelled in the course in which they tutor, and they have been trained to facilitate discussions on course content, study skills, and strong academic habits. UASC provides peer tutoring for the following courses: BY 101 - Topics in Contemporary Biology, BY 123 - Introductory Biology I, BY 124 - Introductory Biology I, BY 210 - Genetics, BY 330 - Cell Biology, CH 100 - Chemical Problem Solving, CH 105 - Introductory Chemistry I, CH 107 - Introductory Chemistry II, CH 115 - General Chemistry I, CH 117 - General Chemistry II, CH 235 - Organic Chemistry I, CH 237 - Organic Chemistry II, CH 460 - Fundamentals of Biochemistry, MA 098 - Basic Algebra, MA 102 - Intermediate Algebra, MA 105 - Pre-Calculus Algebra, MA 106 - Pre-Calculus Trigonometry, MA 107 - Precalculus Algebra and Trigonometry, MA 110 - Finite Mathematics, MA 125 - Calculus I, MA 126 - Calculus II, MA 180 - Introduction to Statistics, PH 201 - College Physics I, PH 202 - College Physics II, PH 221 - General Physics I, and PY 101 - Introduction to Psychology.
In an effort to assess and track the effectiveness of our peer tutoring services, UASC currently uses an online management software system called Tutor Trac to record contact with students who use the UASC. Tutor Trac allows students to schedule their tutoring, supplemental instruction, and academic coaching appointments online, receive text alerts, track visit histories, and generate reports.

**Supplemental Instruction**

Supplemental Instruction (SI) is a student academic assistance program which increases academic performance and retention through its use of collaborative learning strategies. The SI program targets those traditionally difficult academic courses which typically have higher rates of grades of D, F, or Withdrawals as final course results. SI provides regularly scheduled, peer-facilitated sessions which offer students assistance for discussion and process course information in an out-of-class learning environment. Supplemental Instruction currently supports the following courses: BY 115 - Human Anatomy, BY 123 - Introductory Biology I, BY 124- Introductory Biology I, BY 210 - Genetics, BY 330 - Cell Biology, CH 105 - Introductory Chemistry I, CH 107 - Introductory Chemistry II, CH 115 - General Chemistry I, CH 117 - General Chemistry II, CH 235 - Organic Chemistry I, CH 237 - Organic Chemistry II, CH 460 - Fundamentals of Biochemistry, FN 310 - Fundamentals of Financial Management, MA 098 - Basic Algebra, PH 201 - College Physics I, PH 202 - College Physics II, PH 221 - General Physics I, PH 222 - General Physics II, PY 101 - Introduction to Psychology, PY 212 - Developmental Psychology, QM 214 - Quantitative Analysis I, and QM 215 - Quantitative Analysis II. Several features of the UAB SI model influence higher levels of student academic performance by employing the following techniques:

- SI schedules are set during the first week of class, allowing students to obtain assistance before they encounter academic difficulty.
- SI Leaders attend all class sessions and familiarize themselves with all of the course materials and assignments.
- SI Leaders create worksheets based upon the class content to discuss during weekly review sessions.
- SI Leaders conduct two to three sixty minute review sessions per week throughout the term.
- SI Leaders maintain their own accurate course specific webpage where they upload their weekly worksheets, mock exam dates, and important student information and announcements.
- SI sessions are designed to promote a high degree of student interaction.
- SI provides an opportunity for the course instructor to receive useful feedback from the SI leader.

SI Leaders report attendance through their weekly attendance sessions and mock exam sessions. Assessment of Supplemental Instruction is measured at the end of each semester. The UASC will compare the final course grades of those students who attended SI against those who did not. The group grade average of those who attended SI can be compared to the group average of those who did not attend. A slightly different view considers the percentage of successful completions (grades of A, B, and C) of those who attended SI compared to the successful completions of those who did not attend; likewise, the percentage of unsuccessful completions. SI students earn higher course grades and withdraw less often than non-SI students. The UASC office administers midterm and final evaluations to all students enrolled in courses which support Supplemental Instruction.

The School of Nursing has a U.S. Department of Health and Human Services Health Resources and Services Administrations grant which seeks to increase the number of bachelor degree-prepared nurses from diverse backgrounds. The Enrichment Academy for Nursing Success (EANS) project recruits minorities, first-generation students, and students from rural areas to receive services during their pre-nursing curricula. The UASC is a partner with EANS providing consultation, collaboration, and space for EANS students’ required study hours. The Collat School of Business opened a tutoring center in 2014. The UASC director led a portion of the training for the new tutors and is another campus partner for the initiative.

To assess the effectiveness of the activities of UASC, the center director distributes a monthly report containing the numbers of students who attend or utilize a service of the tutoring center. The grades of the students who were conditionally admitted are reported, and a comparison of the SI grade point averages of students attending sessions versus those who do not is conducted.

**University Writing Center (UWC)**

The UWC offers one-on-one help with writing. UWC tutors are graduate students and adjunct instructors from the English Department. In 30- or 60-minute consultations, tutors assist students at any stage of the writing process. UWC tutors most commonly help with understanding writing assignments, brainstorming ideas, developing outlines, finding and using sources, and revising and editing drafts. The UWC assists with writing for any course, as well as with theses, dissertations, grant proposals, personal statements, and more. The UWC is located in Mervyn H. Sterne Library.

Services are open to all undergraduate, graduate, and professional students, and students may have up to two 30-minute consultations per week (or one 60-minute consultation). The UWC offers special services and works closely with other UAB offices to ensure the best support for all student populations. For example, the UWC employs an English-as-a-Second-Language specialist to assist second-language students. Additionally, the UWC offers online tutorials and an “Ask-a-Tutor” email service to accommodate online and distance students. Students enrolled in EH 091 - Introduction to College English are required to visit the UWC; through this requirement, the UWC helps many at-risk, first-year students who must pass EH 091 before moving on to the standard composition curriculum. Finally, in collaboration with the Graduate School and Office of National and International Fellowships and Scholarships, the UWC offers workshops for graduate students and fellowship applicants, in addition to regular workshops of interest to the general student population.

The UWC utilizes a web system, WCOnline, whereby students may schedule appointments online. Students arranging to meet with a tutor must upload their goals for meeting which allows tutors to prepare in advance. Tutors summarize all meetings in Client Report Forms which allow students to review the notes and the UWC to maintain records needed for tracking student progress. At students’ requests, the notes from tutoring sessions can be sent to instructors. WCOnline is also utilized to distribute and collect surveys to address improvements the UWC can make based on student and instructor feedback.

**Math Learning Lab**

The UAB Math Learning Lab (MLL) is a computer laboratory where students who are enrolled in undergraduate mathematics courses receive assistance outside of class. The goals of the MLL are to support the active learning of mathematics through weekly scheduled laboratory meetings, independent study or work, and walk-in availability of tutors. The laboratory also provides graduate students with
The University of Alabama at Birmingham

TRIO Academic Services (TAS) Program

UAB’s TRIO Academic Services (TAS) is a Student Support Services program that is a part of a network of TRIO programs fully funded by the U.S. Department of Education. The purpose of TAS is to increase the retention and graduation rates of low-income, first-generation college students and students with disabilities through support services that encourage their success. The TAS Program provides the following services: academic support through tutoring, advising, and workshops; personal support through mentoring and counseling; intrusive academic advising and counseling to students on academic probation; community building through frequent contact and cultural/social events; graduate school exploration and career planning; technology support through computer stations, laptops, and free printing; specific services customized by class level; leadership development and service opportunities; and extended office hours from 8 AM – 8 PM weekdays. TAS is temporarily located in the 936 Building and will be housed in the new Student Center when it opens in Fall 2015.

The TAS Program offers the following services:

- Academic Tutoring: Participants who need assistance in specific courses or need to develop specific skills receive weekly group or individual tutoring from both professional staff and peer tutors. Participants are also encouraged to form study groups.
- Academic Advising: Participants benefit from supplemental academic advising, course selection assistance, and review of their Individual Graduation Plan (IGP). The Counselor also provides intrusive advising weekly to participants who are on Academic Probation or in academic jeopardy (GPA below 2.2).
- Financial Aid Advising: Financial aid advising is provided to participants during conferences each semester. The Director reviews award letters and participants’ satisfactory academic progress. The Counselor shares information on scholarships and helps students complete their applications. UAB Financial Aid Counselors also provide FAFSA assistance and seminars to help familiarize students with their options and the best packages for them.
- Financial and Economic Literacy: Financial and economic literacy workshops are provided to all new students during Real Talk 101. Students draft sample budgets and are taught the basics of money management, banking, and credit awareness (understanding credit scoring, how to establish and maintain good credit, etc.).
- Graduate and Professional School Counseling: Using the IGP, students set short- and long-term goals to help them stay focused on entrance to graduate or professional school. Staff work with juniors and seniors on researching scholarships, writing personal statements, and taking admissions tests. The program also provides graduate school tours to expose students to options for study.
- Counseling: Counselors provide academic, personal, career, financial aid, and graduate school counseling as well as short-term counseling as needed. Social group counseling is provided through the Chit Chat Club, where students meet monthly to discuss issues with their peers and the Counselor. Seniors meet with the Counselor to assess their progress toward a degree as well as career readiness and/or graduate school preparation.
- Peer Mentoring: Through the Wings Mentoring Program, all newly admitted participants are assigned a peer mentor (a current upper-class participant) to facilitate their adjustment to UAB. Peer mentors have weekly, informal contact with each of their mentees.
- Career Development: In partnership with UAB Career and Professional Services, the project hosts a series of services designed to guide participants’ career development. This partnership encourages students to begin taking an active role in making decisions that will affect their career.
- Computer Lab and Laptop Loans: Several laptops are available to students through the Laptop Loan Program. The TRIO Computer Lab, with nine work stations, is available for student use weekdays until 8 PM. Students use the lab for online classes, the Learning Management System, research, email, and free printing.
- Cultural Activities: The project sponsors attendance to concerts, theatre productions, and museum tours. Staff also coordinate cultural enrichment and graduate school tours in the region.
- Study Skills Seminars: TAS provides a wide range of seminars to help students develop the study skills they need to succeed in their courses and graduate from UAB. Seminar topics include math anxiety, note taking, textbook reading, learning styles, test anxiety, test-taking strategies, and/or other topics as deemed necessary for student success. Additionally, students receive the TAS Tips for Classroom Success Manual at the beginning of the term and the TAS Preparing for Finals Manual a month before final exams.
- Personal Development Seminars: These seminars focus on the non-academic skills needed to be successful. Seminar topics include time management, stress management, goal setting, effective communication, and understanding personality types.
- Service Learning: TAS provides opportunities for students to volunteer with local agencies and non-profit organizations during TRIO Community Service Week.
- 3-Day Getaway: Through campus and community collaborations, TAS provides a 3-Day Getaway (a staycation) during the University’s pre-final "Reading Days." Through donated services, the project offers mini-massages, exercise, stress management sessions, and financial management sessions.
- Leadership Development: Student Advisory members gain leadership skills through their involvement in program initiatives. Under staff supervision, students learn to plan and help implement key activities such as TRIO Awareness Week, TRIO Orientation, the 3-Day Getaway, Cultural Events, and TRIO Community Service Week.
- Study Away/Study Abroad: Student volunteers travel to Spain and Puerto Rico. For the past five years, students have traveled and studied in Spain and Puerto Rico.
To assess the effectiveness of the program, TAS tracks the graduation rates of the students who participate. The metrics are discussed in greater detail in Comprehensive Standard 3.3.1.3.

Disability Support Services (DSS)

DSS is committed to making UAB programs and services accessible to students with disabilities. Each request for accommodations is evaluated individually by DSS staff. The goal of DSS is for student academic performance to be evaluated without the limiting effects of a disability. DSS provides a broad array of services and technologies to ensure that the UAB campus - and a UAB education - are accessible to everyone. DSS is temporarily located in the 9th Avenue Office Building and will be housed in the new Student Center when it opens in Fall 2015.

Registering for services is a multi-step process. In order to receive accommodations, DSS requires students to contact the DSS office to request services. Students must complete the DSS application for services and provide documentation of their disability. Documentation guidelines are available for each disability category. Once an application and documentation is received and reviewed by DSS staff, students are contacted to schedule an intake interview with a counselor.

While it is DSS procedure to schedule intake interviews after receiving an application and documentation, an intake interview may occur prior to this time. DSS staff will meet with any student who wishes to discuss services as well as his/her disability. Conducting an intake interview at this point is determined on a case-by-case basis.

All documentation and all intake interviews are conducted by the Director, Assistant Director, counselor, and assistive technology specialist. Each case is reviewed, and the DSS team determines if the documentation, application, and intake provided support the student's eligibility as well as which accommodations he/she may be eligible to receive.

Once a student is identified by DSS as "eligible," he/she must participate in an Accommodation Conference. During the Accommodation Conference, a DSS counselor will explain in great detail the services the student is eligible to receive, specific information about each accommodation, the student's responsibilities, testing procedures (if applicable), confidentiality, and student resources (self-advocacy, law, priority registration). The student has the opportunity to ask the counselor any questions he/she has at this point. Students are provided multiple handouts to ensure they receive the information both verbally and in writing.

Temporary disability services allow DSS to assist students with temporary impairments. These students do not fall under the Americans with Disabilities Act or Section 504 of the Rehabilitation Act. However, this policy allows DSS to assist faculty with providing temporary accommodations to qualifying students. Provisional accommodations are services provided to students who are in the process of completing requirements for Active status. Provisional accommodations are determined on a case-by-case basis. If a student is granted provisional accommodations, he/she must complete the registration process while receiving the provisional accommodations. If requirements are not completed, access to services will terminate when this status expires.

The primary responsibilities of DSS are to ensure accessibility to all programs, services, courses, and activities available to students at UAB and to prevent discrimination of students with disabilities. In order to meet these two goals, DSS regularly provides training to faculty, staff, and administrators about these responsibilities. DSS works with other UAB staff to provide accommodations for activities such as campus tours, new student orientation, as well as specific placement tests for potential and newly admitted students.

In addition to providing accommodations to students, DSS staff also offer Academic Coaching sessions which are tailored to each student’s particular needs related to their disability. Academic Coaches provide encouragement, support, and guidance as students acquire skills that will help them excel. Examples of skills targeted during coaching include: goal setting, time management, and organization; note taking and listening skills; studying and exam preparation; reading comprehension, writing strategies, and managing projects; memory and concentration; anxiety and stress management; and communicating effectively with professors regarding their accommodations.

DSS counseling services are designed to help students work through interpersonal issues such as stress, depression, anxiety, relationship concerns, etc. Individual counseling services take place in a comfortable, private, and non-judgmental setting. DSS counselors understand that students who are registered with DSS may experience unique challenges related to their disability. DSS helps students explore their goals and provide support while students process any concerns and/or challenges affecting their well-being.

DSS collaborates with campus departments to ensure accessibility to all programs, services, and activities which are available to UAB students. UAB staff members are educated by Disability Support Services on the importance of ensuring accessibility and preventing discrimination. The DSS staff provides annual training to specific areas and also provides specialized training as requested/recommended to areas. DSS provides training and consultation to various departments on campus, including Student Life, New Student Programs, Student Engagement, Enrollment Services, Admissions, Athletics, Career Services, Testing Center, TRIO Academic Services, and the Registrar’s Office, as well as to faculty and departmental meetings and other venues as requested.

The DSS staff trains student services staff in the non-academic areas to consider accessibility when developing and implementing activities/programming for DSS students. Staff are educated on disability law, confidentiality, conduct expectations, reasons to refer students to DSS, how to make programs and meetings accessible to all students, and concepts of Universal Design.

DSS conducts an annual survey at the end of Spring semester to seek feedback from both registered DSS students. The Spring 2014 Student Survey Report will be discussed below. A complete presentation of DSS assessment can be seen in Comprehensive Standard 3.3.1.3.

The purpose of the Student Survey is to seek the input of registered DSS students regarding their impressions of the services provided to students with disabilities at UAB. The survey is designed to evaluate student impressions and level of satisfaction in the following areas: Working with DSS and UAB faculty; Accessibility of campus facilities and programs; Delivery of accommodations (i.e. test proctoring services, interpreting/CART services, etc.); and Additional DSS services (i.e. academic coaching, counseling sessions, Assistive Technology evaluations). The questionnaire includes 40 questions in the format of multiple choice, Likert-scale, and open-ended questions.
The 2013-2014 student survey results are summarized below:

- 88% Strongly Agree or Agree that UAB is a welcoming environment for students with disabilities
- 91% Strongly Agree or Agree that instructors at UAB have been cooperative in implementing the accommodations approved by the DSS office
- 95% Strongly Agree or Agree that accommodations provided by the DSS office have contributed to an improvement in academic performance
- 80% Strongly Agree or Agree that DSS staff has encouraged them to advocate for themselves with UAB faculty/staff, when appropriate
- 88% Strongly Agree or Agree that they are able to discuss accommodations with instructors in an appropriate and effective manner
- 93% Strongly Agree or Agree that DSS testing facilities are adequate to their needs
- 76% Strongly Agree or Agree that the additional services received from DSS staff contributed to an improvement in academic and/or personal life
- 67% rated their overall experience with DSS as excellent
- 88% would definitely recommend DSS services to fellow UAB students

Graduate School Professional Development Program

UAB’s Professional Development Program (PDP) provides ongoing support to graduate students and post doctoral fellows to develop and refine communication and other professional skills such as teaching at the college level and grant writing. The program offers:

- Semester-long credit courses in Academic Writing, Speaking and Presentation, Presentation and Discussion Skills, Developing a Teaching Portfolio, Teaching at the College Level and Beyond, Principles of Scientific Integrity, and Pronunciation.
- Workshops for academic credit including topics on career fields, writing in professional settings, effective professional presentations, and writing grant and fellowship proposals.
- Courses aimed toward non-native English speakers to improve English proficiency in communicating ideas verbally and in written formats, improve pronunciation, and present professionally.

The mission of the PDP is:

- To nurture strategic competencies that transcend disciplinary boundaries
- To prepare UAB graduate students and postdoctoral fellows to participate successfully in academic and professional arenas
- To provide English language support for international graduate students, postdoctoral fellows, and scholars

The program philosophy is:

- Developing professional communication skills and core career competencies to complement research training provided by graduate programs so that UAB graduate students and postdoctoral fellows are well-positioned for success in diverse careers.
- Preventing communication problems from becoming academic problems during graduate training, leveling the playing field for some of the brightest researchers
- Providing guidance so that graduate students become more efficient, effective and ethical research writers, presenters, and future leaders

The first PDP courses were offered to international graduate students in the summer of 1991. As a result of many graduate student and faculty requests, courses were soon offered for all graduate students and opened to postdoctoral fellows. Since its inception, the PDP has served over 5,000 graduate students, postdoctoral fellows, international scholars, and employees from across campus. Because of the unique support that it offers to graduate students, the number of individuals enrolled in classes and workshops and the number of credit hours produced has steadily increased with only an occasional year of level enrollment. During the 2013-2014 academic year, the PDP program served 1,314 graduate students and 124 postdoctoral fellows. With the introduction of online courses by the PDP, the outreach to off-site students has opened new professional development opportunities.

Today, more than ever, graduate students must be entrepreneurial and well-rounded professionals, with both research and communication competencies to successfully navigate the changing career landscape. To prepare students for these challenges, Program Director Julia Austin has worked with graduate faculty to design elective academic and research-communication courses, for credit, on a pass/no-pass basis, with the goal of creating an optimal learning environment for graduate-level professional support. A number of one hour, half day, and full day workshops that are offered at no cost to students have been added recently. An important part of the PDP pedagogy includes exercises in peer mentoring, interdisciplinary discussions of professional practice, and the research-oriented focus for graduate students and postdoctoral fellows, thereby recognizing that their needs are very different from those of undergraduate students. The PDP has never been a remedial program for students. It has always focused on providing the high quality instruction and experiences in academic writing, publishing, and presenting for graduate students in science, technology, engineering, and mathematics (STEM disciplines), as well as in health careers because instruction in developing those skills is not provided by their graduate programs. The primary objectives of the PDP include helping graduate students shorten their time to degree, enhancing their research productivity, and preparing them to succeed in a variety of professional environments, many of which will be outside academe.

The Fall 2014 schedule of professional development offerings details specific course topics and objectives. Brochures and fliers that announce the availability of the wide variety of Professional Development Program offerings are distributed to graduate program directors and posted on bulletin boards across campus at appropriate times during each academic year.

Technology Support

Computer Laboratories

UAB operates a large number of computer laboratories that are either general student access or dedicated to students of a particular school, college, department, or programs. The public laboratories are operated by UAB Information Technology and are located in the
libraries and Heritage Hall. The listing of UAB student computer laboratories provides information on hours of operation, hardware available, authorized users, and courses that utilize the facilities. These facilities cover every school/college and span the campus.

**Student Counseling**

**Counseling and Wellness Center**

The Counseling and Wellness Center (internet access required) provides individual, couple, and group therapy to currently enrolled undergraduate, graduate and professional students, ranging in age from 17 to over 60 years. The Center also promotes health and wellness by going into the classrooms, participating in health fairs on campus, and setting up tables at various locations on campus. Program topics include stress relief/management, depression, suicide, substance abuse, eating disorders and healthy relationships. Students initially calling into the Center undergo an intake session to evaluate that student’s needs and appropriately schedule with member of the counseling staff. Several methods of screening are used including the standardized screening instrument (PHQ-9) which alerts the counseling team of the stress level and suicide level of that student. Students are asked to evaluate the Center’s services twice per year in order to gain feedback on the adequacy of how well the services are meeting their needs and to solicit suggestions for improvement. The survey instrument and the results from Fall 2013 and Summer 2014 are available.

**Women’s Counseling Center**

The Women’s Counseling Center (internet access required) provides the following services and programs to all students:

- Counseling Services: The Center provides confidential counseling services for all currently enrolled UAB students. Services are provided by a Licensed Professional Counselor, with a special focus on struggles most commonly seen as women’s issues, such as sexual assault, sexual harassment, and eating disorders. Due to the confidential nature of the counseling relationship, counseling services may only be conducted in person.

- Sexual Assault, Stalking, Dating Violence and Domestic Violence Prevention Programs: The Center, in association with other UAB departments and off-campus organizations, develops and implements violence prevention programs and services. UAB has a Coordinated Community Response Team (CCRT) that works as a team to design assessments, services, and programs.

- Outstanding Women Awards: Each year, the Center, in association with the Commission on the Status of Women and The Women’s & Gender Studies selects, and hosts the Outstanding Women Awards. A selection committee is comprised of 12 members from the UAB Campus and the Birmingham Community. Recipients are selected according to the following four criteria: made it easier for other women to achieve; has taken a courageous stance; has provided significant service to women; and/or overcame adversity to achieve her goal. Nominations are submitted for five categories: student, faculty member, administrator, staff member, and community member. There are usually 2 two students selected, a graduate student and an undergraduate student.

- Violence Prevention Programs: Beginning in May 2014, "Every Choice," an online bystander intervention program, will be offered to all students. It will be strongly encouraged for all incoming undergraduate students (on and off campus) and available to all. The Equal Opportunity and Discriminatory Harassment Policy can be accessed from the Center's website. "A Guide for Victims of Sexual Assault" can be accessed on the website, also.

In order to provide the improvements in services to the students served, the Women's Counseling Center uses the following methods for assessment:

- User Evaluations: Two times per year (fall and spring semesters), students who utilize the counseling services of the Women’s Center (and Counseling & Wellness Center) are asked to complete a user evaluation. There has been a consistent request for a better physical atmosphere in the Counseling & Wellness Center waiting room, leading to improvements to the existing space. In July of 2014, the Women’s Center will become part of Student Health Services in a completely new and combined office complex to better serve students.

- Student feedback and therapist observation: Due to the nature of counseling, assessment of effectiveness, helpfulness, and student satisfaction/progress are continually being evaluated and adjusted during the therapy hour and from session to session. This continuous assessment guides the counseling process. No aggregate data are gathered. This assessment is done on an individual basis. (Examples of positive outcomes include: changes in binge/purge episodes, decrease in hypervigilence, increase in desire and ability to engage in life, and increase in use of healthy coping strategies).

**Center for Teaching and Learning**

The University’s Center for Teaching & Learning (CTL) was created to organize and coordinate ongoing instructional development activities available to all faculty members. The CTL provides a wide range of training opportunities to help faculty members enhance their pedagogical skills and use of instructional technology. From 2012 through mid-2014, the CTL offered 143 hours of teaching-related training with a combined 1,105 attendees and 32 hours of individual consultations for 75 faculty members. Most of the activities fall under the following teaching enrichment categories.

- **New Teaching Faculty Orientation** – A 1.5 day orientation and quick course on fundamentals of teaching and course management have been offered prior to the start of fall semester for the past two years.

- **Teaching Certificates** – The two certificate programs, Effective Teaching Practice and Instructional Technology, enroll new faculty cohorts each year (62 participants combined for 2012-2014). Participants complete ten topic areas to receive a certificate of completion. These sessions are also open to faculty members who are not enrolled in one of these two certificate programs.

- **Seminars and Demonstrations** – CTL programming has grown in number and diversity of topics since its start in 2012. Nearly 70 sessions on teaching practice topics and 112 sessions on instructional technology topics have been offered. More than 30 individual teaching practice consultations, mentoring sessions, and class observations have been conducted.
Workshops – These events typically require participants to practice some aspects of the session topic. For example, Team-Based Learning (TBL) workshops have been offered in different ways to UAB faculty to help support the new QEP theme of “learning in a team environment.” A TBL demonstration in October 2012 led to a two-part workshop in February 2014 that was conducted by the creator of the method, Dr. Larry Michaelsen. Another one-day workshop with Dr. Michaelsen is scheduled for October 2014. Utilizing internal UAB talent to lead TBL workshops has been quite effective with the most recent offering receiving scores >4.5 on a scale of 1-5 for all evaluation categories as listed on the Evaluation Summaries of CTL Activities. The Centers for Teaching & Learning at UAB and the University of South Alabama are discussing ways to collaborate on additional TBL training and jointly developing TBL modules. Another method to allow learning in a team environment is simulation for learning. A multi-disciplinary demonstration workshop conducted in October of 2013 allowed faculty members from the health professions and the arts and sciences to experience a progressive simulation that transitioned to different learning objectives and participate in the reflective debriefing process. This simulation workshop led to cross-department collaborative efforts and the event evaluation scores averaged 4.5 or higher on a scale of 1-5 for all categories as listed on the Evaluation Summaries of CTL Activities.

Specialized Services

School of Dentistry
Two mentoring programs are provided in the School of Dentistry. The UAB School of Dentistry Peer Mentoring Program is designed to help students as they progress through the challenging dental curriculum. This program is provided free of charge to all students in the D.M.D. program. Mentor/mentees are selected within the same class as they are studying the same material, have identical assignments, and course directors and will be preparing for the same assignments and examinations. Either party can terminate the mentoring relationship at any time, and a different mentor can be selected if peer tutoring is still considered beneficial for the student.

The High-Intensity, Learning, Assessment, and Mentoring Program pairs students who are developing slowly in clinical ability, administrative skills, or other aspects of the profession with more experienced faculty members in the Comprehensive Care Clinic instead of dental residents. Students who do not show documented progress are further limited to the Comprehensive Care Clinic with no rotations. Students focus attention on general patient care and may be limited to performing certain procedures. Assignment to this structured mentoring program is meant to rectify deficiencies quickly through focused attention from mentors.

School of Medicine
School of Medicine students have access to all of the university services, including Disability Support Services In addition to advising students, Medical Student Services provides an extensive system of resources to assist students learn as efficiently and effectively as possible. These resources include:

- Learning assessments (Kolb’s Learning Style Inventory, VARK Learning Modality, Myers-Briggs Type Indicator)
- Learning strategy workshops and training events
- Strategies to approach various types of test items, including those specific to the United States Medical Licensing Examination
- Free learning resources, including peer tutoring, test banks, and other learning resources through Lister Hill Library

Sources (In Order of Appearance)

- [PDF] 2014-2015 Undergraduate Catalog (Page 32)
- [PDF] 2014-2015 Graduate Catalog (Page 17)
- [PDF] University Academic Success Center
- [URL] UASC Website (Active)
- [PDF] 2014-2015 Undergraduate Catalog (Page 30)
- [PDF] 2014-2015 Graduate Catalog (Page 15)
- [PDF] University Writing Center
- [URL] University Writing Center Website (Active)
- [PDF] 2014-2015 Undergraduate Catalog (Page 29)
- [PDF] Math Learning Lab
- [URL] Math Learning Lab Website (Active)
- [PDF] Direction Student Handbook (Page 96)
- [PDF] UASC - Supplemental Instruction
- [URL] UASC - Supplemental Instruction Website (Active)
- [PDF] 2014-2015 Undergraduate Catalog (Page 33)
- [PDF] 2014-2015 Graduate Catalog (Page 18)
- [PDF] Direction Student Handbook (Page 98)
- [PDF] TRIO Academic Services
- [URL] TRIO Website (Active)
- [PDF] 2014-2015 Undergraduate Catalog (Page 31)
- [PDF] 2014-2015 Graduate Catalog (Page 16)
- [PDF] Direction Student Handbook (Page 143)
- [PDF] Disability Support Services
- [URL] DSS Website (Active)
- [PDF] 2014-2015 Graduate Catalog (Page 157)
Educational Programs: All: Responsibility for curriculum
The institution places primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty.

Judgment
☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative
Rule 502 of the Board of Trustees of the University of Alabama states as a matter of policy that "Primary responsibility for the planning and execution of academic programs begins with the faculty and staff of each System campus."

School/College Curricula Review
To meet this responsibility, each school/college has either one unit-wide curriculum committee or multiple departmental curriculum committees responsible for the approval of courses and programs of study. These committees are made up of elected and/or appointed faculty members.

### School/College Curriculum Committees

<table>
<thead>
<tr>
<th>School</th>
<th>Faculty Group</th>
</tr>
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<tbody>
<tr>
<td>Arts &amp; Sciences</td>
<td>Curriculum &amp; Education Policies Committee</td>
</tr>
<tr>
<td>Business</td>
<td>Undergraduate Curriculum Committee, the Graduate Curriculum Committee and the School-wide Curriculum Committee</td>
</tr>
<tr>
<td>Dentistry</td>
<td>Curriculum Committee</td>
</tr>
<tr>
<td>Education</td>
<td>Curriculum &amp; Programs Committee</td>
</tr>
<tr>
<td>Engineering</td>
<td>Academic Affairs Committee</td>
</tr>
<tr>
<td>Health Professions</td>
<td>Academic Affairs Committee</td>
</tr>
<tr>
<td>Joint Health Sciences</td>
<td>Graduate Biomedical Sciences Curriculum Committee</td>
</tr>
<tr>
<td>Medicine</td>
<td>Medical Education Committee</td>
</tr>
<tr>
<td>Nursing</td>
<td>Curriculum Committee</td>
</tr>
<tr>
<td>Optometry</td>
<td>Curriculum Committee, Optometry Faculty Advisory Committee, Associate Dean for Professional Studies</td>
</tr>
<tr>
<td>Public Health</td>
<td>Education Policy Committee</td>
</tr>
</tbody>
</table>

Alternative approaches to organization of the faculty committees responsible for curricular review are demonstrated by comparison of the Collat School of Business, the School of Education, and the School of Nursing.

The Collat School of Business has three complementary committees that evaluate curricular issues. The Undergraduate Curriculum Committee and the Graduate Curriculum Committee are comprised of volunteer members from each department and the Director of Undergraduate Programs and the Director of Graduate Programs, respectively. These committees proactively review the core curriculum and evaluate current trends in current offerings. The School-wide Curriculum Committee, consisting of two elected members from each department and a member appointed by the Dean, evaluate and process requests for curricular additions and changes.

The School of Education Curriculum and Programs Committee (CPC) is responsible for addressing curricular and programmatic issues such as academic standards, program requirements and quality, curricular coordination across departments and schools, curriculum and program review, and accreditation. The CPC is comprised of all Program Coordinators.

The School of Nursing Curriculum Committee is responsible for assuring that the curriculum has proper sequence, balance, flexibility, scope, and accountability. The committee is also responsible for evaluating and making recommendations to the faculty on academic policies and the development of new courses and programs. Voting membership include three elected faculty from each department, a representative from University Hospital, and one faculty member designated by the Chairman of the Faculty Organization. Student representatives, Program Coordinators, and the Associate Dean for Academic Affairs are non-voting members.

University Curricula Review
All program-related initiatives of new academic programs (majors, concentrations or tracks within majors, certificates) are developed within a school/college or department and undergo curricular review by the faculty units described above. Proposals then proceed to the Faculty Senate Academic Program Review Committee (APRC) or the Graduate Council Advisory Committee (ADCOM), both of which are comprised of faculty from all academic units. The New Program Approval Process outlines the path of review and approval which concludes at the institutional-level with the President.

Once approved by the appropriate department chair and dean, undergraduate items are forwarded to the Vice Provost for Student and Faculty Success who transmits them to the APRC. As outlined in the APRC Constitution, the Committee is charged with overseeing review of undergraduate program issues and making recommendations to the Provost. Voting members and alternate members of the APRC are elected by each academic unit with undergraduate programs through a faculty driven process within the unit such as the Curriculum Committee, the Faculty Affairs Committee, or an Academic Affairs Committee. Reports summarizing the review of new programs, including Bachelor of Science in Biomedical Science, Bachelor of Fine Arts in Musical Theatre, and Bachelor of Science in Public Health, demonstrate the Committee’s role in curricular matters.
Graduate program initiatives that have been approved by the appropriate department and school/college-level administrators are forwarded to the Dean of the Graduate School who ensures they are placed on the agenda of the Graduate Council Advisory Committee (ADCOM). The ADCOM’s responsibilities are described in the Graduate School Policies and Guidelines and include (a) advising the Graduate School Dean with regard to administrative oversight of graduate education and UAB graduate programs, (b) reviewing existing policies and procedures for efficacy and appropriateness, (c) proposing new policies and procedures as needed, and (d) reviewing and approving Notifications of Intent to Submit a Proposal and full graduate program proposals for new programs. The ADCOM is comprised of faculty representatives from each UAB school and college. Examples of consideration and action taken by the ADCOM include review of new program proposals for the Master of Science in Biotechnology and Ph.D. in Rehabilitation Science and new tracks within the Master of Engineering program.

Sources (In Order of Appearance)

[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 223)
[PDF] School of Business Policies and Procedures (Page 14)
[PDF] School of Education Faculty Handbook (Page 9)
[PDF] School of Nursing Bylaws (Page 6)
[PDF] New Program Approval Process
[PDF] Faculty Senate Academic Programs Review Committee Constitution
[PDF] APRC Report - BS Biomedical Science
[PDF] APRC Report - BFA Musical Theatre
[PDF] APRC Report - BS Public Health
[PDF] Graduate School Policies and Procedures (Page 32)
[PDF] ADCOM Minutes - MS Biotechnology
[PDF] ADCOM Minutes - PhD Rehabilitation Science
[PDF] ADCOM Minutes - Additional Tracks to MEng
3.4.11

Educational Programs: All: Academic program coordination

For each major in a degree program, the institution assigns responsibility for program coordination, as well as for curriculum development and review, to persons academically qualified in the field. In those degree programs for which the institution does not identify a major, this requirement applies to a curricular area or concentration.

Judgment

☒ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Program coordination, including curriculum development and review, is assigned by deans to department chairs and program directors. The responsibilities of program directors at the undergraduate and graduate levels vary with school/college and program. The UAB Graduate Program Director Handbook provides "best practices" suggested by experienced program directors, which covers topics including their role in recruitment, application review, and management of enrolled students. Graduate program directors are also provided with a listing of Best Practices for UAB Doctoral Programs that provides guidance for overall graduate program management. At both levels, the program director is generally responsible for leading curriculum review via the catalog preparation process and has a significant role in the annual student learning outcomes assessment that is documented using WEAVE, a hosted, web-based assessment and planning management system. The program director and chair, if different, typically lead the accreditation process for those programs that are accredited by their disciplines.

All department chairs and program directors have terminal degrees in their disciplines or are otherwise appropriately qualified in the major or concentration for which they have responsibility. Appropriate qualifications when a program coordinator does not have a terminal in the discipline include publication/research experience, professional certification/licensure, service as a faculty member for significant time, and significant experience as a practicing professional. It should also be noted that terminal degrees are not common in some disciplines (particularly in health professions), such as Genetic Counseling, where professional certification/licensure is emphasized. In interdisciplinary programs, the program director is appointed by the appropriate dean or deans and may consist of codirectors. In all cases, the director is a faculty member in the department or program.

Academic Coordinators and their qualifications are provided in the Academic Program Director Listing. Coordinators are responsible for both traditional and online programs if the program is offered in multiple formats.

Sources (In Order of Appearance)

[PDF] UAB Graduate Program Director Handbook
[PDF] List of Best Practices for UAB Doctoral Programs
[PDF] UAB Academic Program Directors
Educational Programs: All: Technology use

The institution’s use of technology enhances student learning and is appropriate for meeting the objectives of its programs. Students have access to and training in the use of technology.

Judgment

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative

Technological Infrastructure, Software, and AskIT

Network

UAB provides an extensive network infrastructure that supports all aspects of the institution’s mission through the Office of the Vice President for Information Technology and Chief Information Officer. This network (internet access required) covers ninety city blocks and over 130 buildings enabling high speed communication among faculty, staff, and students, no matter the nature of the interaction. The network backbone is a collapsed 10-Gigabit backbone routing TCP/IP protocols using Gigabit Ethernet links over single mode optical fiber.

Annual campus network refresh projects ensure every campus building and all classrooms maintain reliable high-speed campus networks. UAB Campus-IT provides 802.11 wireless LAN (WiFi) network ubiquitously across all classroom and research buildings. Depending on the device, the data rate varies from 10Mbps-40Mbps. The UAB WiFi network requires user authentication and is encrypted.

Within buildings, Category 5 and 6, or higher unshielded twisted pair wiring connects desktops to the network. A Gigabit Ethernet backbone over multimode optical fiber is used for multi-floor buildings. Computer server clusters are connected to the building entrance using Gigabit Ethernet. Each floor contains one or more switches connected to the building backbone using Gigabit Ethernet. Wired connections to the desktop are at 100 Mb/s in 90% of the facilities, with 100% planned for 2014.

All of the UAB residential facilities have full campus network access through ResNet. Each resident is allocated an individual 100M Network jacks. UAB Wifi is also available throughout the residence halls. Beginning in fall 2014, Apogee will begin servicing the WiFi services within all of the residence halls. All five residential halls have 24-hour access to computer labs with full campus network and computer capabilities. Students also have access to the campus-wide network in the school and departmental computer labs as well as in both libraries.

The University provides 2.5Gbps of Internet and Internet2 Bandwidth capacity to the campus. The traffic is monitored at all times for intrusion prevention and congestion. A backup link of equivalent capacity is available in the event the primary link is disrupted.

Intercampus Interactive Telecommunications System (IITS)

The coordination of technology support also takes place within the context of the University of Alabama System. One example of this collaboration is the Intercampus Interactive Telecommunications System (IITS) that is used to share courses among all three campuses. Instituted in 1991, IITS uses emerging telepresence technology to share Alabama’s instructional resources. IITS connects users to in-state, national and international conferencing, course instruction, research endeavors and meeting participation. It is utilized for online instruction in a limited number of synchronous courses.

Access and Authentication

UAB utilizes a unique identifier (BlazerID) and authentication that allows active students, faculty, and staff access to email, student records, libraries, financial systems, and other resources as appropriate. For example, all students, traditional and distance, utilize their BlazerID to access licensed resources, such as library databases, from outside the UAB network.

Software

UAB also manages software licensing for the University, which allows all students (online and traditional), faculty, and staff access to a variety of products for free or at discounted prices for their own hardware.

AskIT

AskIT supports student and faculty use of software and technology-enhanced classroom space. The AskIT Help Desk can be accessed via help tickets, online chat, phone, or walk-up. Many issues are addressed in the FAQs to facilitate immediate resolution of common problems.

Learning Management System

Blackboard Learn

UAB utilized Blackboard Learn as its LMS prior to Fall 2014. Use grew steadily for all courses, as shown in the usage report for active sections. This report details usage by school/college and term. The number of active sections of online courses (Q-Designated) was 350 in Fall 2013, while the total number of courses was 1,801. Thus, the LMS was utilized by traditional and online students.
UAB began using Canvas as the institutional LMS in Summer 2014 in a limited number of test courses and in Fall 2014 for all courses. Its adoption followed an assessment-driven process which led to desired or required LMS features and functions and usability testing with faculty and students.

The Division of eLearning and Professional Studies (eLPS) provides necessary training and support for faculty and students to implement the new LMS and ancillary technologies. Remote day and evening sessions provide a Canvas overview to students. Faculty training sessions, occurring in-person at the UAB Center for Teaching and Learning and remotely in the evening, cover topics such as Personal Settings, Course Settings, Syllabus/Pages, Modules, Assignments, Discussions, Quizzes, People and Groups, and Grading. Canvas guides and video tutorials are provided on the UAB Online website (internet connection required). Over 600 faculty and staff members attended Canvas training opportunities over the period of February to July 2014. From April through July 2014, approximately 160 students attended Canvas Overview training. Survey results from non-student and student attendees indicate that the training sessions met expectations and that attendees will be able to apply the knowledge learned.

Computer Laboratories

UAB operates a large number of computer laboratories that are either general student access or dedicated to students of a particular school, college, department, or programs. The public laboratories are operated by UAB Information Technology and are located in the libraries and Heritage Hall. The listing of UAB student computer laboratories provides information on hours of operation, hardware available, authorized users, and courses that utilize the facilities. These facilities cover every school/college and span the campus.

UAB has used the Noel-Levitz Student Satisfaction Inventory (internet access required) to obtain undergraduate student feedback on a wide range of UAB functions. Complete results for UAB (for 2004, 2008, and 2011) and UAB and National 4-Year Public Universities (2011) are included in this documentation, as well as simplified data showing only student satisfaction for UAB (2004, 2008, 2011) and National 4-Year Public Universities (2011). Student responses to one question is relevant to this area:

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<tbody>
<tr>
<td>26. Computer labs are adequate and accessible.</td>
<td>5.76</td>
<td>5.47</td>
<td>0.29</td>
<td>5.55</td>
<td>0.21</td>
<td>5.22</td>
<td>0.54</td>
</tr>
</tbody>
</table>

UAB undergraduate students are more than their counterparts at national four-year public institutions and their satisfaction has improved since 2004.

Use of Technology

Technology is utilized across the University to support and enhance student learning. Examples of courses and supporting syllabi demonstrate the breadth of experiences where technology is utilized and, in some cases, is itself a key topic. For instance, HB 695 - GIS for Public Health uses geographic information systems (GIS) as part of analyzing public health issues, which requires that students learn and apply this technology.

Selected Courses Utilizing Technology
Faculty use of technology in teaching therefore ranges from using none at all to presenting fully developed, online courses. When technology is used, it can be used in one of three basic ways:

- To add a richer variety of experiences to classroom instruction
- To provide students with richer learning experiences outside the classroom setting
- To increase student access to educational opportunities through distance/online education

Among faculty members who have embraced the use of technology in teaching, the ways in which they use it range from adding digital presentations to lectures to creating complete online courses. The following sections provide multiple examples of these three uses of technology that enhance learning. A representative sample of courses that utilize technology are provided below.

### Classroom Instruction

Web-enhanced classroom instruction can take a variety of forms including the use of...
The following examples demonstrate some of the ways in which technology is used in classroom instruction.

**Dedicated Computer Laboratories**

Multiple sections of EH 091 - Introduction to College English, EH 101 - English Composition I, and EH 102 - English Composition II are taught in dedicated computer laboratories with networked personal computers equipped with word processing software. Additionally, each classroom hosts an interactive program that allows the instructor's station to monitor and control each computer in the classroom. An overhead projector controlled by the instructor's station can publicly display any computer screen in the room. This allows for collaborative writing among the students and between the instructor and the students. Each classroom is also equipped with printers which enhance students' ability to collaborate and also to revise. This technology enhances the learning experience in the classroom setting by providing efficient, cost-effective instructional opportunities such as text sharing, cooperative review, and collaborative revision.

**Use of Online Supplements**

Some sections of EH 091 - Introduction to College English, EH 101 - English Composition I, and EH 102 - English Composition II use online supplements. The web-based tools available through Blackboard and, beginning Fall 2014, Canvas provide additional means for communication between students and instructors as well as enhanced delivery of course materials. Some of the online features allow students to read and comment on/critique the work of their classmates totally online, increasing opportunity for collaboration. Furthermore, faculty can organize and link students to trustworthy online resources which engage a multiplicity of learning styles and academic needs.

**Multimedia Equipped Classrooms and Laboratories**

The Collat School of Business makes extensive use of multimedia equipped classrooms. Faculty use various types of audiovisual presentations to enhance the classroom experience. PowerPoint, internet, and Cloud-based resources are used to maintain the currency of Business courses and are easily used because each classroom in the school is equipped with identical audiovisual equipment connected to the internet. Business courses are also enhanced using well-equipped computer labs and high quality audiovisual classrooms.

These multimedia technologies are all linked through a managed local area network allowing professors to use various types of analysis software in class. Students are then required to use these software packages outside of class for assignments. This active learning process, which would not be possible without the available technology, serves to enhance the students' understanding of both the software being used and the nature and uses of the information being developed. Examples of the software employed in various classes by both faculty and students include MS Azure, Minitab, SQL, Qualtrics, Visual Studio, C#, HTML 5, UCINET Social Network Analysis Software, Google Docs, blogs, and wikis, as well Microsoft Access (database), Excel (spreadsheet), and LINKS Simulation.

**Web-based Platforms**

All Business faculty members use the learning management system, Canvas, or other website platforms to support individual courses. These web-based platforms allow the instructors to post syllabi, schedules, lecture notes, PowerPoint slides, supplementary materials, and links to other websites that students can access outside of class to enhance learning. Many of the instructors also require students to engage in threaded discussions using the tools on these platforms as part of the class to supplement and enhance the learning that results from classroom presentations.

**i>clicker Audience Response System**

UAB uses i>clicker as its classroom interactive response system. The i>clicker system enhances student engagement during class lectures and creates an interactive learning environment. Students enrolled in EC 210 - Principles of Microeconomics and OPT 212 – Ocular Pharmacology course use i>clicker technology in every lecture throughout the semester.

**Learning Outside the Classroom**

Technology used outside the classroom setting enhances student learning by providing opportunities for interactive, self-paced learning.

**Web-based Course Assignment Websites**

EC 210 - Principles of Microeconomics, EC 211 - Principles of Macroeconomics, EC 301 - Money and Banking, EC 305 - Intermediate Macroeconomics, and EC 440/540 - Economics for Educators use specialized web-based course assignment websites to supplement classroom learning. Cengage Learning MindTap and Pearson Education MyEconLab provide highly interactive problem sets, tutorials, news analyses, readings, and experiments for students to complete. These sites provide the instructor with automatic grading and tracking of course assignments. Overall, these web-based enhancements to classroom lectures have allowed instructors to:

- Determine and test student's knowledge of prerequisite materials at the beginning of the course. Students are then automatically directed to a series of tutorials and resource materials to help correct particular weaknesses.
- Compare how students perform on practice versus graded assignments. This has allowed instructors to determine if practice
assignments improve the graded portion of the class.

- Track the length of time students spend on assignments. This has allowed instructors to determine if students who log more hours on the websites perform better on exams or assignments than those students who log fewer hours.
- Examine assignment or exam responses to individual questions and discuss in the classroom setting those questions on which students, as a group, scored poorly.
- Observe chat room topics of discussion and focus on those topics in the classroom.

Overall, these course enhancements have significantly increased student preparation levels prior to classroom lecture sessions and have increased the overall learning outcomes in Economics courses. Students who have used this courseware in conjunction with traditional in-class lectures have shown increased learning comprehension. Finally, instructors have verified that they are able to cover more content in class and can cover this material in more depth than was possible before the implementation of MindTap and MyEconLab.

**Specialized Software Packages**

The School of Engineering utilizes specialized software packages used in industry throughout the engineering curricula. In general, much of the technology instruction in the School of Engineering begins at the freshmen level where students learn how to perform basic software functions. Additional functions are taught and applied as students progress through their major courses.

The engineering programs at UAB extensively use computer aided design (CAD) packages to enhance student learning. One of these software packages, CREO Parametric (formerly Pro/ENGINEER), is introduced to engineering students in EGR 110 - Introduction to Engineering I, EGR 111 - Introduction to Engineering II, and ME 102 - Engineering Graphics. The foundations learned in these courses are expanded in junior and senior level courses once students determine their area(s) of specialization. For instance, Mechanical Engineering students in MSE 280 - Engineering Materials, ME 498 - Capstone Design Project I, and ME 499 - Capstone Design Project II use CREO Parametric (Pro/ENGINEER) software to complete the design of a composite material part.

Once the part is drawn to specification, it is then exported to Ansys software where finite element analysis (FEA) is performed on the new composite part. Students use this FEA software to apply forces such as pressure and heat on the composite part to test its viability for actual use. When problems are found in the composite part, the student can modify the design in Creo Parametric (Pro/ENGINEER), retest in Ansys, and continue this process until a final working solution is achieved.

The School of Public Health utilizes specialized GIS software, ArcGIS, in its HB 695 – GIS for Public Health course. Through this course, students develop basic GIS skills, including GIS operations such as buffering, geocoding, layering, and spatial queries. Students learn how to use those operations to both describe and propose solutions for public health challenges.

**Web-based Homework and Testing Websites**

The Department of Mathematics uses MyMathLab Plus, a web-based course homework and testing site, in the introductory pre-calculus mathematics courses at UAB including MA 098 - Basic Algebra, MA 102 - Intermediate Algebra, MA 105 - Pre-Calculus Algebra, MA 106 - Pre-Calculus Trigonometry, MA 107 - Pre-Calculus Algebra and Trigonometry, MA 110 - Finite Mathematics, and MA 180 – Introduction to Statistics. A web-based homework site is also used for MA 125 - Calculus I and MA 126 - Calculus II.

The Department of Mathematics implemented a computerized web-based homework system for introductory level mathematics courses in the summer of 2001. The computer software framework for the system was a set of programs originally developed for use in the physics curriculum at Michigan State University and subsequently adopted by the UAB Department of Physics. The system, Computer Assisted Personalized Approach (CAPA), was specifically implemented to attempt to counteract the low success rate in the introductory pre-calculus courses.

The rapid development of computer-based learning systems in the early 2000s necessitated an examination of available publisher-provided systems in order for UAB to stay up to date with advances in the field. In 2006, the Department of Mathematics began the migration to the MyMathLab learning system offered by Pearson-Addison-Wesley Publishing. Concurrent with this migration, the Department developed MADDIE (Math Department Database), a SQL database for management of the teaching of pre-calculus courses and the standardization of student grading.

The MADDIE system provides enhanced tools to instructors and administrators to monitor and assess student learning; both within a course section and across multiple sections. It also provides students and advisors with an up-to-the-minute assessment of student progress in a course. This feature has proven to be extremely valuable to various campus entities, such as the UAB Athletic Department academic advising team.

The overall pass rates in the pre-calculus classes have increased since the implementation of the CAPA system and the MyMathLab system. The use of the MADDIE database in the introductory mathematics courses has enhanced the overall learning processes by improving student performance on coursework and improving the instructor’s class management capabilities. The chart below shows the improvement in passing rates for recent fall semesters. (Similar improvements occur for the spring and summer semesters.)

**Passing Rate Improvement in Mathematics Department Pre-Calculus**
The University of Alabama at Birmingham

Introductory Physics

As a result, the learning experience has been enhanced in the following ways:

### System Laboratory include:

In addition, improvements implemented in AST 111 - Astronomy of the Universe Laboratory and AST 113 - Astronomy of the Solar structure offers UAB students the unique opportunity for learning astronomy directly from a NASA scientist who can provide the latest online. A NASA scientist, who has an adjunct appointment in the UAB Department of Physics, teaches this course. The remote-class allows students to follow the syllabus, work assigned problems, and interact with their instructor within one web-based program. In addition, the instructor can easily monitor student progress. The laboratory work in PHS 101 – Physical Science has been enhanced by the utilization of DataStudio, a software package from Pasco that provides a user-friendly method to acquire and analyze data. The tool removes the aggravation of unreliable connections and enables students to concentrate entirely on the concepts to be learned.

In addition, earlier enhancements, such as (i) extensive use of digital video hardware and software for analysis of a wide range of real-world situations, (ii) use of technology to lower the mathematical threshold needed to perform meaningful analysis in simple experiments, and (iii) emphasis on teamwork, communication, and presentation skills as recommended by National Science Education Standards, continues to enhance the learning experience of the students.

#### Student learning experiences have been enhanced in the following ways:

- Provided a better framework for inexperienced students and those with weak mathematics background;
- Improved the interest, active participation, and morale of non-majors seeking to satisfy core science requirements;
- Responded to student reactions that experiments use artificial situations;
- Better addressed current and future life and job skills and computer skills;
- Attracted specific audiences such as athletes, pre-service teachers, etc.;
- Improved enrollment and student satisfaction by relevance to existing knowledge and interests of students

Recently an online Physical Science course has been developed. A pilot is being test in Summer–Fall 2014 and full implementation is planned for Spring 2015. The course is being designed to allow non-science majors to complete one physical science lecture and laboratory section or activities, which are based on flexible times that can be adjusted to the personal schedule of each student taking this laboratory science course. This is particularly advantageous for students in non-science based fields because they often have time-constraints which conflict with the 3-to-4 hour classroom scheduling typically required for laboratory science courses.

#### Astronomy

Several Astronomy lecture courses including AST 102 - Astronomy of Stellar Systems and AST 105 - Extraterrestrial Life offer sections online. A NASA scientist, who has an adjunct appointment in the UAB Department of Physics, teaches this course. The remote-class structure offers UAB students the unique opportunity for learning astronomy directly from a NASA scientist who can provide the latest advancement in the understanding of the universe and new discoveries on the solar system.

In addition, improvements implemented in AST 111 - Astronomy of the Universe Laboratory and AST 113 - Astronomy of the Solar System Laboratory include:

- Additional software to expand the level to which specific topics are covered;
- Added software that simulates planetary orbits was added to study Kepler’s Laws;
- Created a large electronic database with emission and absorption spectra along with several reference spectra;
- Added software such as Starry Night to expose students to virtual observing sessions;
- Introduced video techniques to analyze physical situations

As a result, the learning experience has been enhanced in the following ways:

- Students are exposed to more comprehensive and diverse applications of specific course ideas;
- Students can experimentally vary masses, eccentricities, and radii of planetary orbits to see the consequences of such changes;
- Students can actually calculate Doppler Shifts for specific objects (this introduced the concept of classical red shifts of light and allowed students to calculate distances to these objects based on these Doppler Shifts);
- Students learn the importance of weather as well as upper atmospheric conditions to data collection;
- Students learn to compile observational data without worrying about the intricacies of controlling and directing an actual telescope.

### Technology used in Science Laboratories

The Department of Physics has incorporated video recording and computerized analysis technologies into their undergraduate physical sciences and introductory physics laboratory courses. These technologies have enhanced the laboratory learning experience (based on student feedback provided in the IDEA surveys of classroom teaching and a department-developed student survey for laboratory sections) and helped develop students’ abilities to move from experience to data to explanatory principles in a user-friendly and exciting environment.

#### Physical Sciences

The improvements implemented in PHS 101 – Physical Science include using power of connect, a McGraw-Hill produced platform that allows students to follow the syllabus, work assigned problems, and interact with their instructor within one web-based program. In addition, the instructor can easily monitor student progress. The laboratory work in PHS 101 – Physical Science has been enhanced by the utilization of DataStudio, a software package from Pasco that provides a user-friendly method to acquire and analyze data. The tool removes the aggravation of unreliable connections and enables students to concentrate entirely on the concepts to be learned.

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- Created a large electronic database with emission and absorption spectra along with several reference spectra;
- Added software such as Starry Night to expose students to virtual observing sessions;
- Introduced video techniques to analyze physical situations

As a result, the learning experience has been enhanced in the following ways:

- Students are exposed to more comprehensive and diverse applications of specific course ideas;
- Students can experimentally vary masses, eccentricities, and radii of planetary orbits to see the consequences of such changes;
- Students can actually calculate Doppler Shifts for specific objects (this introduced the concept of classical red shifts of light and allowed students to calculate distances to these objects based on these Doppler Shifts);
- Students learn the importance of weather as well as upper atmospheric conditions to data collection;
- Students learn to compile observational data without worrying about the intricacies of controlling and directing an actual telescope.

### Introductory Physics

#### Technology used in Science Laboratories

The Department of Physics has incorporated video recording and computerized analysis technologies into their undergraduate physical sciences and introductory physics laboratory courses. These technologies have enhanced the laboratory learning experience (based on student feedback provided in the IDEA surveys of classroom teaching and a department-developed student survey for laboratory sections) and helped develop students’ abilities to move from experience to data to explanatory principles in a user-friendly and exciting environment.

#### Physical Sciences

The improvements implemented in PHS 101 – Physical Science include using power of connect, a McGraw-Hill produced platform that allows students to follow the syllabus, work assigned problems, and interact with their instructor within one web-based program. In addition, the instructor can easily monitor student progress. The laboratory work in PHS 101 – Physical Science has been enhanced by the utilization of DataStudio, a software package from Pasco that provides a user-friendly method to acquire and analyze data. The tool removes the aggravation of unreliable connections and enables students to concentrate entirely on the concepts to be learned.

In addition, earlier enhancements, such as (i) extensive use of digital video hardware and software for analysis of a wide range of real-world situations, (ii) use of technology to lower the mathematical threshold needed to perform meaningful analysis in simple experiments, and (iii) emphasis on teamwork, communication, and presentation skills as recommended by National Science Education Standards, continues to enhance the learning experience of the students.

#### Student learning experiences have been enhanced in the following ways:

- Provided a better framework for inexperienced students and those with weak mathematics background;
- Improved the interest, active participation, and morale of non-majors seeking to satisfy core science requirements;
- Responded to student reactions that experiments use artificial situations;
- Better addressed current and future life and job skills and computer skills;
- Attracted specific audiences such as athletes, pre-service teachers, etc.;
- Improved enrollment and student satisfaction by relevance to existing knowledge and interests of students

Recently an online Physical Science course has been developed. A pilot is being test in Summer–Fall 2014 and full implementation is planned for Spring 2015. The course is being designed to allow non-science majors to complete one physical science lecture and laboratory section or activities, which are based on flexible times that can be adjusted to the personal schedule of each student taking this laboratory science course. This is particularly advantageous for students in non-science based fields because they often have time-constraints which conflict with the 3-to-4 hour classroom scheduling typically required for laboratory science courses.

#### Astronomy

Several Astronomy lecture courses including AST 102 - Astronomy of Stellar Systems and AST 105 - Extraterrestrial Life offer sections online. A NASA scientist, who has an adjunct appointment in the UAB Department of Physics, teaches this course. The remote-class structure offers UAB students the unique opportunity for learning astronomy directly from a NASA scientist who can provide the latest advancement in the understanding of the universe and new discoveries on the solar system.

In addition, improvements implemented in AST 111 - Astronomy of the Universe Laboratory and AST 113 - Astronomy of the Solar System Laboratory include:

- Additional software to expand the level to which specific topics are covered;
- Added software that simulates planetary orbits was added to study Kepler’s Laws;
- Created a large electronic database with emission and absorption spectra along with several reference spectra;
- Added software such as Starry Night to expose students to virtual observing sessions;
- Introduced video techniques to analyze physical situations

As a result, the learning experience has been enhanced in the following ways:

- Students are exposed to more comprehensive and diverse applications of specific course ideas;
- Students can experimentally vary masses, eccentricities, and radii of planetary orbits to see the consequences of such changes;
- Students can actually calculate Doppler Shifts for specific objects (this introduced the concept of classical red shifts of light and allowed students to calculate distances to these objects based on these Doppler Shifts);
- Students learn the importance of weather as well as upper atmospheric conditions to data collection;
- Students learn to compile observational data without worrying about the intricacies of controlling and directing an actual telescope.

### Introductory Physics
One of the non-calculus-based introductory physics lectures is offered in the “flipped course” style in which recorded lectures are viewed by students before the assigned class period. Class time is used for problem solving and question/answer periods. The Department of Physics will continue this approach for several years, implementing changes initiated by student feedback. A five-year review is planned to assess the effectiveness of this new teaching format.

The Department of Physics uses WebAssign, a web-based instructional system, for all homework assignments in the introductory physics sequence. The software allows instructors to select problems appropriate to their individualized lectures as well as to create their own problems. Students can check their work instantly, thus accelerating the feedback between inquiry and answer. Faculty time is freed from grading to provide individual supervision.

**Distance Education**

UAB’s distance education technologies increase educational opportunities for students by reducing geographical limitation and eliminating educational obstacles imposed by static and inflexible class times.

**Department of English**

Each term multiple sections of EH 101 – English Composition I and EH 102 – English Composition II are offered totally online through Canvas, along with sections of other 200-level courses satisfying Core Curriculum requirements.

**School of Health Professions**

The School of Health Professions offers substantial portions of several degree programs online. The B.S. in Health Care Management program curriculum is available completely online; therefore students can complete this degree from a distant site utilizing the Canvas Learning Management System and various media to complete learning activities. Courses offered in this program include HCM 320 – Microcomputer Applications for Health Care Professionals, HCM 416 - Financial Management in Health Care Organizations, and HIM 460: Coding and Classification Systems. The M.S. in Health Administration (MSHA) executive format and the D.Sc. in Administration-Health Services use a model of intensive classroom learning complemented by coursework using Canvas to complete learning activities. The M.S.H.A. and D.Sc. in Administration-Health Services executive programs require students to come to campus for approximately eight day intensive learning sessions three times each year. Students in both programs use online technology and media between campus visits to continue learning activities.

**Department of Physics**

The faculty in the Department of Physics use H.323 videoconferencing and distance learning technologies. As described above, the non-calculus based introductory physics course offered in the “flipped course” style provides recorded lectures to students for viewing online prior to the class meeting. Additionally, the faculties in the Departments of Physics at UAB and the University of Alabama at Tuscaloosa (UA) have used H.323 videoconferencing technologies to teach both core courses such as Electrodynamics and Quantum Mechanics, as well electives. Presently, the technology provides UA with physics courses, such as Biophysics and Laser Physics, which would not otherwise be accessible to their students. UAB has benefited from the courses taught at UA and plans to continue accessing other astrophysics electives, which are not available to UAB students. In general, the H.323 approach has increased the breadth of advanced physics classes that can be offered to our undergraduate physics majors and graduate students.

**School of Nursing**

The UAB School of Nursing offers programs in a distance format including the R.N. to B.S.N., Master of Science in Nursing (M.S.N.), the Doctor of Nursing Practice (D.N.P.), and the Doctor of Philosophy in Nursing (Ph.D.). These programs are offered using a blended format that combines online course sessions combined with on-campus orientations and intensives. Canvas provides students with the latest tools in distance education, including email, a discussion board, live audio/video conferencing, and real-time collaborative document editing (Titan Pad) for group projects. Online exams are now a standard feature in most courses, but additional precautions are taken to ensure the reliability and validity of these exams. Respondus LockDown Browser is used on laboratory computers to prevent potential collaboration. All courses are required to have the same general features thereby reducing the time students need to become oriented with each course as they progress through their plan of study. To enhance the student learning experience, additional features such as streaming video, TurnItIn, NBC Learn (Video Archive), a custom home page, and contracted 24/7 student support are provided through the Canvas LMS Vendor.

Student support for distance accessible courses begins at registration. Information is provided on the School of Nursing website (internet access required) to help students prepare for courses. Additional technical support is offered to students at on-campus orientations and through the UAB Information Technology (AskIT) Help Desk.

**School of Medicine**

The School of Medicine (SOM) utilizes other technologies to increase access to learning opportunities in addition to those provided centrally for campus-wide use:

- **KnowledgeMap (KM):** The KnowledgeMap system was acquired in collaboration with Vanderbilt University in 2009 and was implemented in the preclinical curriculum beginning academic year 2010-2011 and expanded to the clerkship curriculum in 2013. KnowledgeMap is currently the primary course delivery tool used by faculty and students at the SOM and is used in conjunction with other existing systems.

- **One45 Curriculum Management Software:** One45 was purchased in November 2013 to replace a locally developed PC-based database which has limited search and reporting capabilities. The one45 software provides a comprehensive web-based system for entering, searching, and reporting curricular content, as well as providing the means to upload curricular data to the Association of American Medical Colleges Curriculum Inventory and Reports system.

- **Simulation facilities:** A medical student simulation center is under construction in Volker Hall for the 2014-2015 academic year. Medical student simulations are currently shared with other high-volume simulation facilities on campus. Construction of the Volker Hall simulation facility will expand the ability to incorporate more simulation into the medical student curriculum, in addition to already existing simulations.
Center for Teaching and Learning

The Center for Teaching and Learning (CTL), launched in May 2012 as an institution-wide service and support group for UAB faculty, assists faculty with pedagogy and classroom-based technology support. (As was discussed above with LMS support, the Division of eLearning and Professional Studies has assumed responsibility for management and administration of the academic technologies. The CTL continues to support all faculty-related to classroom teaching/learning, including the use of technology in the classroom.) The CTL is open to all faculty and is focused on supporting excellence in teaching that promotes learning through a commitment to pedagogical best practices, appropriate and effective use of technology, and innovative collaboration. In its first year, the CTL offered seminars, workshops, demonstrations, and information sessions on a variety of academic technologies and related topics including a new faculty orientation, teaching practice and effective teaching cohort programs, digital literacy seminar series, and seminars to support faculty interpretation and use of IDEA student survey data. Instruction technology workshops hosted by the CTL are listed on the CTL website (internet connection required).

The New Faculty Orientation was initiated in August 2012 and brought together faculty from each school/college for a quick course in teaching practice and teaching technology. The program has been adjusted based on participant feedback in 2012 and 2013. The most significant changes were:

- Basic LMS support sessions were offered prior to the program
- Teaching practice and teaching technology components were made more distinct
- Introduction of additional information on the functional aspects of working at UAB
- Segmentation based on experience (gathered through the pre-orientation survey)
- A series of follow-up sessions on specific topics of practice and technology throughout the Fall semester

Statistics on attendance at specific events over the 2011-2013 period are contained in the Summary of Attendance at Technology-related Events. Attendance at workshops and seminars dropped precipitously from 2011 to 2012, then experienced a marked increase from 2012 to 2013. The reasons for this are threefold:

- UAB switched its LMS from Blackboard Vista to Blackboard Learn starting Fall 2011. The rollout campaign included a large number of training session offerings in a wide variety of locations. Session quantities needed to be reduced and efforts increased to push out services to departments in a more targeted way.
- The increase from 2012 to 2013 is partially explained by the deployment of more granular training workshops and seminars along with an increase in department-specific activity.
- No teaching and technology events were scheduled in the first half of the 2012 calendar year during the period in which the CTL was being established.
- Event structure changed from primarily subscribing to externally produced webinar delivery of teaching and technology content in 2011, to content created and delivered by the CTL and partner faculty members at UAB.

Sources (In Order of Appearance)

[URL] UAB Network
[PDF] IITS
[PDF] BlazerID Central
[PDF] IT Software
[PDF] Information Technology - Home
[PDF] Information Technology - All FAQs
[PDF] UAB Learning Management System Active Sections
[PDF] eLearn - Needs Assessment Summary
[PDF] eLearn - Faculty Usability
[PDF] eLearn - Student Usability
[PDF] eLearn - Canvas Student Training Calendar
[PDF] eLearn - Canvas Faculty Training Calendar
[URL] UAB Online
[PDF] Canvas Training Attendance (Non-Student)
[PDF] Canvas Training Evaluation Summary (Non-Student)
[PDF] Canvas Training Evaluation Summary (Student)
[PDF] UAB Student Computer Laboratories
[URL] Noel-Levitz Student Satisfaction Inventory
[PDF] Noel-Levitz Data (UAB 11, 08, 04)
[PDF] Noel-Levitz Data (UAB 11, Nat Pub 11)
[PDF] Noel-Levitz Analysis (UAB 11, UAB 08, UAB 04, Nat Pub 11)
[PDF] 3520A Comprehensive CareClinic D3A Syllabus
[PDF] AC 413-AC 513 Syllabus
[PDF] ANTH 434 Syllabus
[PDF] ARS 103 Syllabus
3.5.1

Educational Programs: Undergraduate: General Education Competencies

The institution identifies college-level general education competencies and the extent to which students have attained them.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The University of Alabama at Birmingham is in compliance with Comprehensive Standard 3.5.1 (General Education Competencies) as evidenced by its ongoing assessments of student learning outcomes. Direct assessments include the Educational Testing Service Proficiency Profile data (collected over the past ten years), program-based Learning Outcomes (which are linked both to programmatic objectives and General Education/Core Curriculum competencies), and other internal program-level assessments. Descriptions of these assessments and documentation of success and continuous improvement are below.

General Education Competencies

A student graduating from UAB should be able to demonstrate the following fundamental core competencies, which are found in the 2014-2015 Undergraduate Catalog (Core Curriculum Requirements):

A. Reading and writing skills sufficient to ensure access to information and ideas in the institution’s curriculum as well as in society at large.
B. An ability to make aesthetic judgments in the arts, literature, and humanities based on relevant historical, social, or philosophical contexts.
C. The ability to collect and evaluate information within the context of the scientific method and to use this ability to further one’s understanding of the natural world.
D. The ability to apply mathematical skills and quantitative reasoning to solve problems and interpret information.
E. The ability to reason and evaluate information within the context of the social and behavioral sciences and to use this ability to further one’s understanding of the social, economic, and political environment.
F. Knowledge of contemporary and/or historical issues.

UAB’s Core Curriculum is the foundation for attaining the core competencies and is designed to ensure breadth in the student’s academic experience, while at the same time affording flexibility in satisfying requirements. The Core Curriculum provides students with essential competencies and introduce the student to broad areas of knowledge. Every undergraduate student is required to take a series of courses in Written Composition (Area I), Humanities and Fine Arts (Area II), Natural Sciences and Mathematics (Area III) and History, Social, and Behavioral Sciences (Area IV). (Area V consists of pre-professional, pre-major and/or elective credits that are not typically General Education courses. This terminology is consistent with the Alabama Articulation and General Studies Committee’s Area V courses. These courses are specific to a major and were agreed upon by state-wide discipline committees and are discussed in greater detail in Core Requirement 2.7.3. The credit hours associated with Area V are not counted in the calculations for General Education.)

The University established a Core Curriculum matrix which is the 2014-2015 Undergraduate Catalog to connect the four UAB Core Areas to the six fundamental competencies and to understand how and where students were meeting those competencies. This matrix identifies how specific Core Curriculum courses introduce or reinforce each of the six core competencies. This relationship is shown graphically below:
A given course can contribute to multiple competencies. For example, the Area II Literature courses address three of the six competencies, shown below:

Students who achieve the above competencies in their general education coursework and who then build on these competencies within their chosen majors are well-equipped to meet the goals articulated in the Shared Vision for a UAB Graduate, goals that reflect high expectations for students in Communication, Knowledge, Problem-Solving, and Citizenship.

Assessment of Extent of Attainment

Background

Inherent in any discussion of the University’s efforts to assess student learning, it is necessary to first review the University’s 2005 QEP, Reconceptualizing the University’s Undergraduate Core Curriculum. As a first step toward this reconceptualization, the University focused on three priority areas where, based upon surveys and focus groups, the constituencies felt that UAB students most needed improvement: Writing (W), Quantitative Literacy (QL), and Ethics and Civic Responsibility (ECR). The major goal of the QEP was to improve students’ abilities in these three areas throughout the undergraduate curriculum, thereby making the UAB Core Curriculum and its associated competencies more integral to all academic programs.

The 2005 QEP required significant changes to the undergraduate curricula at the University. Infrastructure components were added such as enforced early enrollment in composition and core mathematics classes, increased First Year Experiences, and required Capstone courses in all programs. In order to implement the QEP, the University appointed a Director of Core Curriculum Enhancement, a Core Curriculum Steering Committee, and three Task Forces (for W, QL, and ECR, respectively). The Core Curriculum Steering Committee and the task forces identified courses in the UAB undergraduate curriculum that introduced or reinforced these three targeted competencies based upon syllabi and supporting documentation from each program. Each program identified at least two places in its curriculum where each competency was taught and developed a culminating Capstone course that incorporated each of the three competencies in discipline-specific ways.

In 2011, the University submitted the Impact Report of the Quality Enhancement Plan which presented evidence that the QEP had been successfully integrated into the University’s culture. Students had made gains in the three targeted areas (W, QL, and ECR), and curricular changes related to these areas, such as Capstones, had become fully institutionalized. The University chose to broaden its assessment efforts to encompass Core Competencies other than those that were the focus of the QEP. As a result, the Core Curriculum Steering Committee was replaced with the General Education/Core Curriculum Committee. The General Education Committee conducts ongoing assessment of attainment of the competencies, reviews and possibly updates the competencies, and considers courses for inclusion in the Core Curriculum. Agenda from recent meetings (13-Dec-2013 and 17-Jan-2014) shows the discussion of standardized tests, assessment, and other general education matters.

Student learning is assessed by the University and by each program (the results of programmatic assessment as discussed in greater detail in Comprehensive Standard 3.3.1.1 - Institutional Effectiveness: Educational Programs). The Educational Testing Service (ETS) Proficiency Profile is administered to UAB freshmen and seniors in order to test a broad array of General Education competencies. In addition, all programs are required to assess student learning Outcomes/Objectives which are linked to QEP areas and to General Education competencies. Data from both assessment approaches are presented to demonstrate the extent to which UAB students have attained all General Education Competencies. In addition, the Departments of Mathematics and English have extensively studied student success in courses as well as knowledge attainment, which are internal, program-level assessments. The College-Level General Education Competencies summary describes assessment tools used to measure each competency and the courses which provide students opportunities to acquire the competencies.

Proficiency Profile

UAB has utilized the ETS Proficiency Profile to assess student learning since 2004. At that time, small samples of entering freshmen and seniors (>90 semester hours) took the Abbreviated form of the test, and then beginning in 2007, the University recruited larger numbers of freshmen and seniors to take the Standard two-hour version of the test. The Proficiency Profile directly measures four skills:
Reading and Writing, both of which map very closely to UAB’s Core Competency A (reading and writing skills sufficient to ensure access to information and ideas in the institution’s curriculum as well as society at large); Mathematics, which maps very closely to Competency D (the ability to apply mathematical skills and quantitative reasoning to solve problems and interpret information); and Critical Thinking, which maps loosely to Competencies C (the ability to collect and evaluate information within the context of the scientific method and to use this ability to further one’s understanding of the natural world) and E (the ability to reason and evaluate information within the context of the social and behavioral sciences and to use this ability to further one’s understanding of the social, economic, and political environment). In addition, context-based subscores are derived for Humanities, Social Sciences, and Natural Sciences. Skills-based and context-based subscores are quantified within a possible range of 100 to 130; a scaled total score within a possible range of 400 to 500 is calculated by ETS.

In 2010, UAB compiled a Repeated Measures Analysis. This study was a longitudinal assessment of students who had taken the Proficiency Profile as freshmen in 2007 and then again as seniors. As the report indicates, these students showed significant increases in total test scores as well as in each of the four subscores. This cohort of students progressed in all subscores, with the smallest gains in Reading and the largest in Mathematics. The report suggests that curricular changes resulting from UAB’s implementation of its QEP had resulted in improved student learning in General Education.

In 2014, the University’s General Education/Core Curriculum Committee undertook a new analysis of UAB students’ performance on the Proficiency Profile, this time examining how UAB students compare holistically to peer universities in the Proficiency Profile database. These data are provided in the Summary of Proficiency Classifications, Proficiency Profile Comparative Data (Seniors), and Proficiency Profile Comparative Data (Institutions). These analyses indicate that UAB students’ performance improved during the course of their undergraduate curricula. On average, UAB seniors scored 16.35 points higher than freshmen in the total score and had commensurate improvements in each skills subscore and context-based subscore. The report suggests that curricular changes resulting from UAB’s implementation of its QEP had resulted in improved student learning in General Education.

### Proficiency Profile Data - UAB and Peer Freshman and Senior Scores and Subscores

<table>
<thead>
<tr>
<th></th>
<th>Possible Range</th>
<th>UAB Freshman</th>
<th>UAB Senior</th>
<th>Peer Freshman</th>
<th>Peer Senior</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Score</strong></td>
<td>400 to 500</td>
<td>444.55</td>
<td>460.9</td>
<td>443.1</td>
<td>455.6</td>
</tr>
<tr>
<td><strong>Skills Subscore</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Critical Thinking</td>
<td>100 to 130</td>
<td>111.54</td>
<td>116.35</td>
<td>110.9</td>
<td>114.5</td>
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<tr>
<td>Reading</td>
<td>100 to 130</td>
<td>118.09</td>
<td>122.17</td>
<td>117.2</td>
<td>120.7</td>
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<tr>
<td>Writing</td>
<td>100 to 130</td>
<td>114.96</td>
<td>117.44</td>
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<td>116.4</td>
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<tr>
<td>Mathematics</td>
<td>100 to 130</td>
<td>113.35</td>
<td>118.14</td>
<td>113.7</td>
<td>116.8</td>
</tr>
<tr>
<td><strong>Context-based Subscore</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Humanities</td>
<td>100 to 130</td>
<td>114.51</td>
<td>118.17</td>
<td>114.1</td>
<td>117.1</td>
</tr>
<tr>
<td>Social Sciences</td>
<td>100 to 130</td>
<td>113.18</td>
<td>117.36</td>
<td>112.9</td>
<td>115.8</td>
</tr>
<tr>
<td>Natural Sciences</td>
<td>100 to 130</td>
<td>115.51</td>
<td>119.19</td>
<td>114.6</td>
<td>117.7</td>
</tr>
</tbody>
</table>

### Proficiency Profile Data - UAB and Peer Freshman and Senior Score and Subscores Changes

<table>
<thead>
<tr>
<th></th>
<th>Possible Range</th>
<th>Change, UAB Freshman to UAB Senior</th>
<th>UAB Freshman vs Peer Freshman</th>
<th>UAB Senior vs Peer Senior</th>
<th>Gain, UAB vs Peer</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Score</strong></td>
<td>400 to 500</td>
<td>16.35</td>
<td>1.45</td>
<td>5.3</td>
<td>3.85</td>
</tr>
<tr>
<td><strong>Skills Subscore</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Critical Thinking</td>
<td>100 to 130</td>
<td>4.81</td>
<td>0.64</td>
<td>1.85</td>
<td>1.21</td>
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<tr>
<td>Reading</td>
<td>100 to 130</td>
<td>4.08</td>
<td>0.89</td>
<td>1.47</td>
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<td>Writing</td>
<td>100 to 130</td>
<td>2.48</td>
<td>0.46</td>
<td>1.04</td>
<td>0.58</td>
</tr>
<tr>
<td>Mathematics</td>
<td>100 to 130</td>
<td>4.79</td>
<td>-0.35</td>
<td>1.34</td>
<td>1.69</td>
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<tr>
<td><strong>Context-based Subscore</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Humanities</td>
<td>100 to 130</td>
<td>3.66</td>
<td>0.41</td>
<td>1.07</td>
<td>0.66</td>
</tr>
<tr>
<td>Social Sciences</td>
<td>100 to 130</td>
<td>4.18</td>
<td>0.28</td>
<td>1.56</td>
<td>1.28</td>
</tr>
<tr>
<td>Natural Sciences</td>
<td>100 to 130</td>
<td>3.68</td>
<td>0.91</td>
<td>1.49</td>
<td>0.58</td>
</tr>
</tbody>
</table>

These analyses indicate that UAB students’ performance improved during the course of their undergraduate curricula. On average, UAB seniors scored 16.35 points higher than freshmen in the total score and had commensurate improvements in each skills subscore and context-based subscore. The Proficiency Profile’s context-based subscores in Humanities and Social Sciences map to UAB Core Competency C, and the Natural Sciences context-based subscore maps to Core Competency E. UAB seniors improved by 3 to 4 points in Humanities, Social Sciences, and Natural Sciences subscores compared to UAB freshmen. Thus, gains are made in these Core Competencies.

Proficiency Profile data can also be interpreted as Proficient, Marginally Proficient, and Not Proficient at multiple dimensions for each skill. Writing and Mathematics are interpreted on three dimensions (1, 2, and 3), whereas Reading skill is interpreted as Reading 1, Reading 2, and Critical Thinking. The performance of the freshman and senior students is shown using these classifications in the Summary of Proficiency Classifications. An example of the improvement by UAB students during their stay is that 43%, 39%, and 46% of entering freshmen were deemed Not Proficient at level 2 in Reading, Writing, and Mathematics, respectively. These percentages decreased to 22%, 20%, and 22% by their senior year. Similar gains occurred at other levels.
Program Learning Outcomes Assessment

Each academic program is required by the University to formulate student learning Outcomes/Objectives, Measures (direct and indirect), and Targets that are appropriate for their discipline and degree level. Findings are recorded regularly, and Action Plans are required if Targets are not met or partially met. Most Findings are entered annually, although in some cases, Findings are on a two or three year cycle. This process is documented using WEAVE (a hosted, web-based assessment and planning management system) and is the basis of UAB’s data underlying Comprehensive Standard 3.3.1.1. A large share of program Outcomes/Objectives assessment occurs late in the curriculum (Capstone courses, major field examinations, and senior level courses) and is an advanced, discipline-specific evaluation of basic university-level skills.

Undergraduate programs map Outcomes/Objectives to General Education/Core Curriculum competencies and the general education foci of the 2005 QEP. While this QEP has been institutionalized, the assessment associations have remained. This mapping process allows competency attainment data to be derived from each program’s Outcomes/Objectives assessment. The General Education/Core Curriculum Associations in WEAVE are as follows:

1. General Education/Core Curriculum
   1.1 Make aesthetic judgments in the arts, literature, and humanities based on context.
   1.2 Collect and evaluate information within the context of the scientific method.
   1.3 Read with comprehension, attention to detail, and awareness of context.
   1.4 Speak effectively as determined by audience, setting, and circumstances.
   1.5 Synthesize information, make reasonable arguments, and arrive at logical conclusions.

2. Writing
   2.1 Respond to an assigned topic in a way that shows responsible concern for an identified audience.
   2.2 Write a logical argument with a clear claim, appropriate evidence, and others’ perspectives.
   2.3 Incorporate and document external sources accurately, appropriately, and with academic integrity.
   2.4 Demonstrate an appropriate level of competence in grammar, usage, and mechanics.
   2.5 Accurately use the writing conventions appropriate to a discipline.

3. Quantitative Literacy
   3.1 Compute using arithmetic, algebra, units, verbal descriptions, mathematical forms, and reason.
   3.2 Interpret and construct visual representations of relationships.
   3.3 Interpret and construct visual representations or relationships.
   3.4 Use quantitative evidence as a basis for reasoning, problem solving, and argument
   3.5 Design empirical research, evaluate designs, and draw conclusions about hypotheses.
   3.6 Communicate quantitative information.

4. Ethics and Civic Responsibility
   4.1 Understand and practice ethical reasoning and decision-making.
   4.2 Demonstrate knowledge of contemporary events and issues.
   4.3 Understand civic responsibility
   4.4 Understand the role of diversity

It should be noted that Core Curriculum Competency F (Knowledge of contemporary and/or historical issues) was added in 2010 and is not included in WEAVE directly. However, other Associations are closely related and are strong indicators of student performance in this competency.

These Associations from WEAVE can be mapped to the current UAB Core Competencies as shown in the table below.

Mapping of General Education/Core Curriculum Associations to Core Competencies A-F
### General Education/Core Curriculum

<table>
<thead>
<tr>
<th>Core Competency</th>
<th>A</th>
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<td>1.1 Make aesthetic judgments in the arts, literature, and humanities based on context.</td>
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<td>1.2 Collect and evaluate information within the context of the scientific method.</td>
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<td>1.3 Read with comprehension, attention to detail, and awareness of context.</td>
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<td>1.4 Speak effectively as determined by audience, setting, and circumstances.</td>
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<tr>
<td>1.5 Synthesize information, make reasonable arguments, and arrive at logical conclusions.</td>
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### Writing

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<tr>
<td>2.1 Respond to an assigned topic in a way that shows responsible concern for an identified audience.</td>
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<td>2.2 Write a logical argument with a clear claim, appropriate evidence, and others’ perspectives.</td>
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<td>2.3 Incorporate and document external sources accurately, appropriately, and with academic integrity.</td>
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<td>2.4 Demonstrate an appropriate level of competence in grammar, usage, and mechanics.</td>
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<td>2.5 Accurately use the writing conventions appropriate to a discipline.</td>
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### Quantitative Literacy

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<tr>
<td>3.1 Compute using arithmetic, algebra, units, verbal descriptions, mathematical forms, and reason.</td>
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<td>3.2 Interpret and construct visual representations or relationships.</td>
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<td>3.3 Draw conclusions based on probabilities, costs, benefits, and risks.</td>
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<td>3.4 Use quantitative evidence as a basis for reasoning, problem solving, and argument.</td>
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<td>3.5 Design empirical research, evaluate designs, and draw conclusions about hypotheses.</td>
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<td>3.6 Communicate quantitative information.</td>
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### Ethics and Civic Responsibility

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<tr>
<td>4.1 Understand and practice ethical reasoning and decision-making.</td>
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<td>4.2 Demonstrate knowledge of contemporary events and issues.</td>
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<td>4.3 Understand civic responsibility.</td>
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<td>4.4 Understand role and value of diversity.</td>
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Program Objectives/Outcomes in WEAVE link directly to General Education/Core Curriculum Associations as can be seen in the table below ("Y" indicates an established linkage).

**Program Outcomes/Objectives Linked to General Education/Core Curriculum Associations**
Of the 51 undergraduate degrees offered by the University, 45 currently have Measures and Findings for their student learning Outcomes/Objectives reported in WEAVE. The six programs not represented are those too new to report (B.S. in Biomedical Sciences and B.S. in Public Health), or are in the process of redeveloping assessment plans (B.A. in Economics, B.A. in Art, B.F.A. in Art, and B.S. in Natural Science). A summary of Outcomes/Objectives linked to General Education/Core Curriculum, Writing, Quantitative Literacy, and Ethics and Civil Responsibility competencies are shown below. Details of each program’s Outcomes/Objectives are provided. The WEAVE detailed assessment reports from Biology, Criminal Justice, Psychology, Civil Engineering, and Nursing show these associations as well as the measures, targets, findings, and action plans.

**Writing, Quantitative Literacy, and Ethics and Civil Responsibility Association Summary**

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The University of Alabama at Birmingham

<table>
<thead>
<tr>
<th>Area</th>
<th>Number of Outcomes/Objectives</th>
<th>Target Partially Met/Met</th>
<th>Action Plans for Improvement</th>
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<tr>
<td>General Education/Core Curriculum</td>
<td>384</td>
<td>82.8%</td>
<td>52.0%</td>
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<tr>
<td>Writing</td>
<td>44</td>
<td>81.8%</td>
<td>62.2%</td>
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<tr>
<td>Quantitative Literacy</td>
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<td>82.3%</td>
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<tr>
<td>Ethics and Civic Responsibility</td>
<td>54</td>
<td>77.8%</td>
<td>74.1%</td>
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Department of English

As an example of programmatic associations to the General Education/Core Curriculum and QEP foci, the Department of English identifies three student learning Outcomes/Objectives:

1. Undergraduate English majors will learn to communicate clearly and effectively in writing with minimal errors in grammar, spelling, and punctuation (Associations 2.1, 2.2, 2.3, 2.4 and 2.5)
2. Graduating English majors will be able to read, analyze, and draw insightful conclusions about a literary text (Associations 1.1 and 1.3)
3. Graduating English majors will be cognizant of their ethical responsibilities as writers and scholars - to both their colleagues and to the university community as a whole. They will also be sensitive to issues of social and cultural diversity both at UAB and beyond. (Associations 4.1, 4.2 and 4.4)

The WEAVE Detailed Assessment Report for the B.A. in English shows that all of the Targets for the Measures of the program's Outcomes/Objectives have been met for the past four reporting years, thus providing evidence of their successful efforts in teaching and assessing these competencies.

Department of Chemistry

The Department of Chemistry associates two Outcomes/Objectives to the General Education/Core Curriculum and Writing, Quantitative Literacy, and Ethics and Civic Responsibility competencies.

1. Students graduating with a B.S. in Chemistry will demonstrate fundamental knowledge of chemistry in core areas of general, organic, inorganic, analytical, biochemistry, and physical chemistry. (Associations 1.2-1.5, 2.2-2.5, 3.1-3.6, and 4.1-4.4)
2. Students graduating with a B.S. degree in chemistry will effectively communicate chemical concepts, data analysis, and scientific thought to professional chemists as well as to the general public. (Associations 1.2-1.5, 2.1-2.5, and 3.1-3.3)

The Detailed Assessment Report shows that all of the Targets for the Measures of the program’s Outcomes/Objectives have been either Met or Partially Met for the last six reporting periods with Action Plans detailing efforts for further improvement.

Internal Program-level Assessments

The Departments of Mathematics and English have a linchpin role in preparing students for future academic success. All UAB students must take one mathematics class at or above the level of MA 105 - Pre-Calculus Algebra and the two-course sequence EH 101 - English Composition I and EH 102 - English Composition II. These two departments have been especially active in assessing the degree to which students in Core Curriculum classes are acquiring the skills needed to progress. While many programs are undertaking their own internal assessments and reporting these via WEAVE (examples include Biology, Criminal Justice, and Early Childhood Education), the assessments of these two departments deserve separate mention here.

Department of Mathematics

In 2007 as part of its commitment to improving students’ Quantitative Literacy, the Department of Mathematics began restructuring its Pre-Calculus courses to incorporate flexible hours, computer-based instruction, and a Mathematics Learning Lab that provided both classroom contact and supplemental instruction as needed. The Department of Mathematics surveyed the grades of all students enrolled in Pre-Calculus courses between Fall 2005 and Spring 2014 and generated the report Success Rates in Pre-Calculus Courses (2014). In this table, "QL" denote an online course. This report tracks success rates—as measured by passing grades—in MA 098 - Basic Algebra, MA 102 - Intermediate Algebra, MA 105 - Pre-Calculus Algebra, MA 106 - Pre-Calculus Trigonometry, MA 107 - Pre-Calculus Algebra and Trigonometry, and MA 110 - Finite Mathematics. The goal was to determine how the restructured format (ALEKS versus CAS) had impacted student success. In brief, the results indicate that overall student success rates increased significantly, from an average of 43% before restructuring to 77% afterward.

In 2012, the Department of Mathematics undertook another assessment of student learning in order to understand why some students do better than others in MA 125 - Calculus I. The report Success Rates in Calculus I (2012) correlates grades in MA 125 against native student/transfer status and also against the first mathematics class taken at UAB. Given that Calculus I is a "gateway" into later STEM courses, the Department wanted to see where and when some students were faltering along the way to Calculus.

Based on student data collected from Fall 2006 to Spring 2012, the report finds that students whose first mathematics course is MA 125 score better in MA 125 than those whose first mathematics course is a lower level. In other words, students who have to "work their way up" to Calculus do not perform as well as students who "place into" Calculus. Further analysis revealed that students whose first mathematics course is either MA 106 - Pre-Calculus Trigonometry or MA 107 - Pre-Calculus Algebra and Trigonometry are performing relatively well when they advance to MA 125. This means that these two courses are remediating students effectively to succeed in Calculus I. However, the report identifies MA 105 - Pre-Calculus Algebra as the weak point in the Calculus pipeline. Students whose first mathematics course is MA 105 do not succeed as often in MA 125 as do students who begin at the MA 106, MA 107, or MA 125 level. As a result of this study, MA 105 emerged as the logical place for the Department of Mathematics to focus its efforts in order to improve student learning. A plan of action is being formulated, as well as determining the strongest predictive variables.

Department of English

In 2007, the Department of English began developing a method for effective, reliable direct assessment of writing in freshman composition classes. The original method of assessment was to have students write a timed, in-class essay in response to a standardized prompt at the beginning of EH 101 - English Composition I and at the end of EH 102 - English Composition II. A series of annual reports analyzed and evaluated the results. See Analysis of EH 101 and EH 102 Assessments (2007-2010) for these collected data.
The 2007 report identified some possible sources of reader bias and inconsistency in what was essentially a pilot project. This report proposed adjustments to the method such as standardizing the topic and increasing the sample size. The 2008 report indicated that the previous year’s adjustments had effectively controlled for bias and created more reliable data. The report concluded that UAB freshmen had demonstrated statistically significant increases in writing ability over the two-course composition sequence. The 2009 report confirmed the results of the 2008 report, although student proficiency did not increase as much that year as the previous one.

The standardized prompt method had the disadvantage of not being organically integrated into the classroom structure; i.e., instructors were having to forgo teaching time in order to administer the short, timed prompts. As a result, in 2009, the Department of English piloted a new assessment method in which writing samples were collected in each EH 102 class (assignments that varied by topic and scope depending on the instructor) and then assessed. A 2010 report indicated that the variability made it impossible to create meaningful generalizations about student learning. This report recommended moving to final portfolios accompanied by reflective essays and then assessing the reflective essays.

In 2012-2013, the Department of English undertook a comprehensive review of the freshman composition program (see Freshman Composition Assessment Data (2013)). This review included faculty interviews, faculty surveys, student surveys, and direct assessment of student writing. The assessment portion followed the recommendation of the 2010 report and evaluated final reflective essays. The results showed that students finishing EH 102 scored between Competent and Above Average on all rubric items.

**Conclusion**
The University of Alabama at Birmingham has clear, specific, and comprehensive general education learning outcomes and various means of assessing student learning against those outcomes. ETS Proficiency Profile comparative data, program-based Learning Outcomes (as reported and tracked in WEAVE), and other internal program-level assessments all indicate continuous improvement of UAB students in the stated competencies most valued for a UAB undergraduate. The results of these various assessment tools provide baselines for future comparisons and assessments and will allow our institution to continue improving.

**Sources** (In Order of Appearance)

[PDF] 2014-2014 Undergraduate Catalog (Page 71)
[PDF] 2014-2014 Undergraduate Catalog (Page 294)
[PDF] Alabama Articulation & General Studies Committee - Area V
[PDF] 2014-2014 Undergraduate Catalog (Page 72)
[PDF] Approved W QL and ECR Courses
[PDF] Impact Report of the Quality Enhancement Plan
[PDF] General Education Committee - Agenda (13-Dec-13)
[PDF] General Education Committee - Agenda (17-Jan-14)
[PDF] Comprehensive Standard 3.5.1 College-Level General Education Competencies
[PDF] Repeated Measures Analysis - 2010 Proficiency Profile Report
[PDF] Summary of Proficiency Classifications
[PDF] Proficiency Profile Comparative Data (Seniors)
[PDF] Proficiency Profile Comparative Data (Freshmen)
[PDF] Proficiency Profile Comparative Data (Institutions)
[PDF] 2012-2013 WEAVE Student Learning Outcomes/Objectives
[PDF] CAS-BY(B)
[PDF] CAS-JUSTSCI(B)
[PDF] CAS-PSYCH(B)
[PDF] Civil Engineering BS DAR
[PDF] BSN DAR
[PDF] EH Core Curriculum Associations
[PDF] Detailed Assessment Report - English (BA)
[PDF] CH Core Curriculum Associations
[PDF] Detailed Assessment Report - Chemistry (BS)
[PDF] Detailed Assessment Report - Biology (BS)
[PDF] Detailed Assessment Report - Criminal Justice (BS)
[PDF] Detailed Assessment Report - Early Childhood Education (BS)
[PDF] Success Rates in Pre-Calculus Courses (2014)
[PDF] Success Rates in Calculus I (2012)
[PDF] Report on EH 102 Analysis - Spring 2010
[PDF] Freshman Composition Assessment Data (2013)
3.5.2

Educational Programs: Undergraduate: Institutional credits for a degree

At least 25 percent of the credit hours required for the degree are earned through instruction offered by the institution awarding the degree. (See the Commission policy "Collaborative Academic Arrangements.")

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Institutional policies at the undergraduate level exist to ensure an acceptable portion of coursework is completed at UAB. Degree monitoring systems are in place to ensure compliance to these policies.

The UAB residency requirement for students, published in the 2014-2015 Undergraduate Catalog, states that at least 25 percent of the total semester hours required for graduation, including at least 21 of the last 30, must be taken at UAB. Courses taken as alternative credit or as a non-degree student (excluding post-baccalaureate students) may not be used to satisfy the residency requirement. A minimum of nine semester hours required for the major (at or above the 400 level) must be completed at UAB. Individual departments may have additional requirements.

Degree requirements for undergraduate programs are tracked and verified through Ellucian Degree Works, which has been internally branded "GPS" for Graduation Planning System. GPS includes core curriculum and programmatic requirements for each major and catalog year. In cases where multiple courses will meet a requirement, those options are listed. GPS audits for students majoring in Accounting, Electrical Engineering, Health Education, and Social Work clearly shows the residency requirement and what must be done to meet it. An undergraduate student cannot graduate until all requirements are met.

Once transfer credits are approved, credit is given for equivalent coursework in the student’s academic record with a notation indicating the institution from which the course was taken. Transcripts for students majoring in Health Care Management, Materials Engineering, and Social Work show transfer credits are clearly designated.

Sources (In Order of Appearance)

[PDF] 2014-2015 Undergraduate Catalog (Page 69)
[PDF] Residency GPS Example - Accounting
[PDF] Residency GPS Example - Electrical Engineering
[PDF] Residency GPS Example - Health Education
[PDF] Residency GPS Example - Social Work
[PDF] Undergraduate Transcript with Transfer Credit - Health Care Management
[PDF] Undergraduate Transcript with Transfer Credit - Materials Engineering
[PDF] Undergraduate Transcript with Transfer Credit - Social Work
3.5.3

Educational Programs: Undergraduate: Undergraduate program requirements

The institution publishes requirements for its undergraduate programs, including its general education components. These requirements conform to commonly accepted standards and practices for degree programs. (See the Commission policy "The Quality and Integrity of Undergraduate Degrees.")

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

All general education and undergraduate major requirements are published in the 2014-2015 UAB Undergraduate Catalog. "Progress to Degree" gives guidance on many aspects of the requirements, including the Freshman Year Experience and Capstone course, as well as academic policies, such as a course withdrawal, transfer credit, and probation. "Completion of a Degree" details requirements such as residency, minimum grade point average, and honors.

General Education/Core Curriculum

"The UAB Undergraduate Academic Experience" section of the 2014-2015 Undergraduate Catalog shows the Core Curriculum Matrix which connects competencies to specific courses. General Education requirements and a listing of courses satisfying each of the four Curriculum Areas as well as the credit hour requirement for each of the areas are listed.

Students are required to complete a minimum of six semester hours of Written Composition, at least twelve semester hours in Humanities and Fine Arts (with a minimum of three semester hours in literature, three semester hours in the fine arts, and the remaining hours from the humanities and/or fine arts), at least eleven semester hours in Natural Sciences and Mathematics (with at least three semester hours in mathematics at the pre-calculus algebra level or higher and at least eight semester hours in the natural sciences), and twelve semester hours in History, Social, and Behavioral Sciences (with at least a three-semester hour course in history and at least six semester hours from among other disciplines in the social and behavioral sciences). In meeting the requirements of Humanities and Fine Arts or History, Social, and Behavioral Sciences, students must elect a two-course sequence in literature or a two-course sequence in history. The School of Engineering requires 35 credit hours of General Education courses, with required hours in Areas II and IV reduced from twelve to nine credit hours each.

Further descriptions of each area follow:

- Area I: Composition is the standard, university-level two-course sequence in composition.
- Area II: Humanities and Fine Arts contains courses where students are expected to develop the ability to deal with issues in values, aesthetics, and/or ethics as they are manifested, for example, in the arts, literature, languages, philosophy, and theatre as well as to expose students to the methodologies of the respective disciplines. Fine arts courses must emphasize history and appreciation rather than performance.
- Area III: Natural Sciences and Mathematics requires at least three semester hours of mathematics at or above the pre-calculus algebra level and at least eight semester hours in the natural sciences which must include a laboratory experience.
- Area IV: History, Social, and Behavioral Sciences requires at least three semester hours in history; the remainder can be taken in any of the traditional social and behavioral science disciplines such as psychology, sociology, economics, political science, and anthropology.

Together, these General Education requirements ensure exposure to the major areas of organized human knowledge traditionally studied in higher education: written composition, the arts, humanities, history, social and behavioral sciences, natural sciences, and mathematics. Additional details on the Core Curriculum can be found in Core Requirement 2.7.3.

The UAB Core Curriculum (General Education) must conform to standards set by the Alabama Articulation and General Studies Committee (AGSC) for general studies requirements across the state.

Major Requirements

The 2014-2015 Undergraduate Catalog provides major requirements (required courses and electives). Course descriptions are detailed separately and are organized alphabetically by prefix. Examples of curricula and major courses are:

<table>
<thead>
<tr>
<th>Major</th>
<th>Requirements</th>
<th>Course Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting</td>
<td>Lower Level School Requirements</td>
<td>Major Courses</td>
</tr>
<tr>
<td>Biomedical Engineering</td>
<td>Major Requirements</td>
<td>Major Courses</td>
</tr>
<tr>
<td>Chemistry</td>
<td>Major Requirements</td>
<td>Major Courses</td>
</tr>
<tr>
<td>English with a concentration in Creative Writing</td>
<td>Major Requirements</td>
<td>Major Courses</td>
</tr>
<tr>
<td>Kinesiology with a Teacher Certification Concentration</td>
<td>Major Requirements</td>
<td>Major Courses</td>
</tr>
<tr>
<td>Medical Technology</td>
<td>Major Requirements</td>
<td>Major Courses</td>
</tr>
<tr>
<td>Nursing</td>
<td>Major Requirements</td>
<td>Major Courses</td>
</tr>
<tr>
<td>Public Health</td>
<td>Major Requirements</td>
<td>Major Courses</td>
</tr>
<tr>
<td>Social Work</td>
<td>Major Requirements</td>
<td>Major Courses</td>
</tr>
</tbody>
</table>
Curriculum Development, Responsibility, and Approval

Rule 502 of the Board of Trustees of the University of Alabama states as a matter of policy that "Primary responsibility for the planning and execution of academic programs begins with the faculty and staff of each System campus." Section 2.2 of the Faculty Handbook and Policies specifies that curricula are determined by the entire faculty or a committee of faculty, with oversight by the school/college curriculum committee or its equivalent. This process may be guided by comparisons to curricula at other universities, requirements of state agencies, and national accrediting agencies.

Catalog/curriculum reviews are conducted yearly. Revisions and updates to curricula are aligned with Undergraduate Catalog preparation, which is administered in CourseLeaf, a comprehensive Catalog Management System. Annual preparation of the catalog is a multistep process that is governed by electronic workflow, where changes are initiated at the program level and proceed through department, school/college, and catalog editor review and approval. Curriculum requirements and courses are linked to ensure accuracy between student information systems; i.e., an error is generated if a course that is not active is cited in the catalog. Consistency between the curriculum in the catalog and graduation requirements for each major and catalog year is assured by annual revision of the DegreeWorks (locally branded as GPS for Graduation Planning System) coding.

All program-related initiatives of new academic programs (majors, concentrations or tracks within majors, certificates) are developed within a school/college or department and undergo curricular review by the school/college curriculum committee or its equivalent. Once approved by the appropriate department chair and dean, undergraduate items are forwarded to the Vice Provost for Student and Faculty Success who transmits them to the Academic Program Review Council (APRC), the subcommittee of the Faculty Senate charged with overseeing review of undergraduate program issues and making recommendations to the Provost. After review and approval by the APRC, program-related items are sent to the Provost for review and then to the President for final internal approval. Recent new programs reviews and approvals for the Bachelor of Fine Arts in Music Theatre and Bachelor of Science in Biomedical Sciences demonstrate this process.

Standards

The institution's academic requirements conform to commonly accepted standards. General Education/Core Curriculum requirements follow the AGSC guidelines for minimum general academic content covered in the freshman and sophomore years. Other programmatic requirements meet standards set by other accrediting agencies and comparable programs at peer institutions.

Multiple, rigorous criteria established by the institution, the Board of Trustees, and ACHE assure that the degree programs are coherent, suited to their purposes, and appropriate to higher education. Proposals for new undergraduate programs address these criteria which are established in the ACHE Criteria for Evaluation of Proposals for New Programs of Instruction: relevance of institutional role, need, collaboration among other institutions, program objectives and content, student availability and demand, program completion requirements, institutional context, program administration, accreditation, resources to support the program, financial support, distance education technology, and program viability.

The accreditation of multiple schools and programs by their respective agencies assures that these programs are appropriate to higher education, coherent, and compatible with their stated purposes. These regular reviews by peer experts examine curricula, resources, facilities, and, in many cases, achievement of student learning outcomes. External reviews of specific disciplines conducted by peers in those disciplines using criteria that are applied across institutions provide a solid benchmark against which to judge the institution's programs.

Sources (In Order of Appearance)

[PDF] 2014-2015 Undergraduate Catalog (Page 59)
[PDF] 2014-2015 Undergraduate Catalog (Page 69)
[PDF] 2014-2015 Undergraduate Catalog (Page 72)
[PDF] 2014-2015 Undergraduate Catalog (Page 294)
[PDF] Alabama Articulation & General Studies Committee - Areas I-IV
[PDF] 2014-2015 Undergraduate Catalog (Page 233)
[PDF] 2014-2015 Undergraduate Catalog (Page 239)
[PDF] 2014-2015 Undergraduate Catalog (Page 299)
[PDF] 2014-2015 Undergraduate Catalog (Page 262)
[PDF] 2014-2015 Undergraduate Catalog (Page 316)
[PDF] 2014-2015 Undergraduate Catalog (Page 118)
[PDF] 2014-2015 Undergraduate Catalog (Page 328)
[PDF] 2014-2015 Undergraduate Catalog (Page 136)
[PDF] 2014-2015 Undergraduate Catalog (Page 351)
[PDF] 2014-2015 Undergraduate Catalog (Page 226)
[PDF] 2014-2015 Undergraduate Catalog (Page 415)
[PDF] 2014-2015 Undergraduate Catalog (Page 276)
[PDF] 2014-2015 Undergraduate Catalog (Page 437)
[PDF] 2014-2015 Undergraduate Catalog (Page 284)
[PDF] 2014-2015 Undergraduate Catalog (Page 449)
Educational Programs: Undergraduate: Terminal degrees of faculty

At least 25 percent of the course hours in each major at the baccalaureate level are taught by faculty members holding an appropriate terminal degree—usually the earned doctorate or the equivalent of the terminal degree.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Across all major discipline areas, as defined below, 72.3% of the credit hours are taught by instructors with the terminal doctorate or appropriate terminal masters-level degree. In many major discipline areas, 100% of the discipline course hours are taught by faculty with a terminal or appropriate terminal masters-level degree; in most major discipline areas, the percentage is above 75%, as shown in the table below. Comprehensive Standard 3.7.1 lists faculty credentials and highest degrees. The table below also outlines the baccalaureate degrees offered by UAB and those programs which are offered in an online-only format. All online-only programs exceed 25% terminal degree faculty providing instruction. This data is also available in pdf format.

Percentage of Undergraduate Credit Hours Taught by UAB Faculty with Terminal Degree, Fall 2013 and Spring 2014
<table>
<thead>
<tr>
<th>School/Department</th>
<th>Overall</th>
<th>Traditional Courses</th>
<th>Online</th>
<th>Degree offered online</th>
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<tbody>
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<td></td>
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<td>Terminal</td>
<td>Non-Terminal</td>
<td>Terminal</td>
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<td>79</td>
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<td>72.2</td>
<td>27.8</td>
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<td>6.4</td>
<td>93.6</td>
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<td>4.6</td>
<td>95.4</td>
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<td>82.4</td>
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<td>80.6</td>
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<td>65.2</td>
<td>35.9</td>
<td>64.1</td>
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<td>100</td>
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<td>77.5</td>
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<td>100</td>
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<tr>
<td>Civil Construction/Environmental Engineering</td>
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<td>Electrical and Computer Engineering</td>
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<td>37.5</td>
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<td>Clinical and Diagnostic Sciences</td>
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<td>77.9</td>
<td>22.1</td>
</tr>
<tr>
<td>Health Professions</td>
<td>20</td>
<td>80</td>
<td>20</td>
<td>80</td>
</tr>
<tr>
<td>Health Services Administration</td>
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<td>51.3</td>
<td>48.5</td>
<td>51.5</td>
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<td>Nutrition Sciences</td>
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<td>Joint Health Sciences</td>
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<td>Neurobiology</td>
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<td>School of Nursing</td>
<td>57.8</td>
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<td>42.2</td>
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<td>Environmental Health</td>
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<tr>
<td>Area</td>
<td>Environment</td>
<td>Explanation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------------------</td>
<td>-------------</td>
<td>-----------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Clinical & Diagnostic Sciences | Overall, Traditional and Online | Faculty members in Clinical & Diagnostic Sciences without terminal degrees often hold professional certifications consistent with the highly specialized curriculum and clinical nature of those fields they teach within the department. The professional certifications and practice experience that these faculty hold are considered as justification. Certifications include, but are not limited to:  
- CGC - Certified Genetic Counselor  
- CMLT - Certified Medical Laboratory Technician  
- CNMT - Certified Nuclear Medicine Technologist  
- CNSC - Nutritional Support Clinician  
- CSBB - Certified Specialist in Blood Bank  
- PA-C - Physician Assistant Certified  
- RRT - Registered Respiratory Therapist |
| Mathematics                 | Online      | There were only two courses offered online:  
- MA 102 - Intermediate Algebra  
- MA 480 - Introduction to Statistics |
| Nursing                     | Traditional | While a doctorate (PhD, DNP, etc.) is the recognized terminal degree, nursing programs at the baccalaureate level require a high degree of clinical focus and significant course work is dedicated to clinical competencies. Supervision of students in these environments requires faculty with a high level of clinical expertise. Thus the School of Nursing retains clinicians, the majority prepared at the master’s level, as adjunct faculty to instruct and supervise students in clinical learning experiences. To ensure quality and safe clinical learning experiences, the faculty-student ratio in clinical courses is necessarily limited to no more than one faculty per 8 students. This high faculty-to-student ratio contributes to the high number of adjunct clinical faculty.  
11 of the total 86 courses in the Traditional format were Clinical, and account for 8.9% of the generated Traditional instruction credit hours. |

**Method**

In line with SACSCOC guidelines, courses numbered 100-499 were included in the analysis, with the following exceptions:

- Courses fulfilling the general education requirement (these courses were identified by having an Area I-IV identifier in Banner Course Attributes, which indicates a general education requirement area at UAB)
- EH 091 – Introduction to College English and MA 098 – Basic Algebra
- Courses in the English language program which focus on English as a Second Language for students who do not meet TOEFL score requirements at the time of acceptance to the University

Data was prepared by:

1. Calculating the total credit hours generated in undergraduate courses during the review period.
2. Disaggregating data by course prefix and attached to department.
3. Disaggregating data further by online courses and traditional (non-online) courses.
4. Identifying the instructors of record for each course and their corresponding percent responsibility for the course.
5. Identifying the highest degree held by each instructor.
6. Identifying all instructors whose highest degree is the terminal doctorate or appropriate terminal masters-level degree.
7. Identifying the course format (online or not online).
8. Calculating the percentage of credit hours taught by those faculty members. For example, in courses where two professors shared instructional responsibility (50% and 50%), half of the generated credit hours were tied to one professor and half the other professor. Further, where one professor had a terminal degree and the second professor did not, the resulting credit hour percentages would be 50% taught by a terminal degree faculty and 50% taught by a non-terminal degree faculty.

Definitions
For purposes of this calculation, discipline course hours are organized by teaching department and split between online and not online. Courses included are identified as contributing to an undergraduate major and excluding courses which are marked as fulfilling the general education requirement. In most disciplines, UAB defines the terminal degree as a doctorate-level degree, which includes the Ph.D., D.A., D.D.S., D.M.A., D.M.D., D.N.P., Ed.D., J.D., M.D., and O.D., as appropriate. In addition, the following masters-level degrees are considered terminal in their respective disciplines:

- M.F.A. - Master of Fine Arts
- M.L.S. - Master of Library Science
- M.S.W. - Master of Social Work

Sources (In Order of Appearance)

[PDF] Percentage of Undergraduate Credit Hours Taught by UAB Faculty with Terminal Degree, Fall 2013-Spring 2014
3.6.1

Educational Programs: Graduate/Post-Baccalaureate:Post-baccalaureate program rigor

The institution's post-baccalaureate professional degree programs, master's and doctoral degree programs, are progressively more advanced in academic content than its undergraduate programs.

Judgment

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative

Graduate education has a distinctly different character from that of undergraduate education. Students explore a chosen area of study in greater depth, but they are also challenged to reach across boundaries and address larger intellectual issues. As stated in the 2014-2015 Graduate Student Handbook, there is greater emphasis on originality and the creation of new knowledge.

The most detailed and comprehensive guidelines for Best Practices in graduate education are published in a series of publications that can be found on the Council of Graduate Schools (CGS) website (internet access required). The CGS provides access to 67 booklets that offer extensive detail regarding the most effective ways in which to deliver graduate education. Most of these booklets are available in the Graduate School Dean’s Office, and the practices described therein are followed to the extent possible. The Graduate School Dean and Associate Deans attend the four annual meetings of the Alabama Council of Graduate Deans (ACGD), as well as the annual meeting of the Conference of Southern Graduate Schools (CSGS). During these meetings, there are presentations and discussions of best practices that are also beneficial. Content from these presentations and discussions are documented in the minutes of the ACGD meetings, and many of the presentations made during CSGS meetings can be downloaded from the CSGS website (internet access required).

Master's Degree Requirements

The master's degree is granted in recognition of (1) scholarly proficiency demonstrated by successful completion of advanced coursework and by adequate performance on the comprehensive examination, if required by the program, and (2) distinctive achievement in a specific field of an academic discipline demonstrated by successful completion of requirements which are considered essential to mastery of the discipline. The 2014-2015 Graduate Student Handbook details the requirements for and the two principal paths leading to the master’s degree, Plan I (Thesis) and Plan II (Non-Thesis). These paths follow the curriculum adopted by each individual graduate program which is developed in order to gain mastery in a specific discipline. In general, Plan I requires the completion, in good academic standing, of at least 24 semester hours of appropriate graduate work and six semester hours of thesis research. Plan I also requires submission of a defended, committee-approved thesis. Plan II requires a minimum of 30 semester hours of graduate credit. Although thesis research is not required as part of a Plan II course of study, the student is often expected to gain insight into the techniques of problem posing and problem solving and to use these insights to prepare a written report.

Doctoral Degree Requirements

The doctoral degree is granted in recognition of (1) scholarly proficiency, (2) distinctive achievement in a specific field of an academic discipline, and (3) demonstration that the graduate is capable of performing independent research that contributes new knowledge to his/her field of endeavor. The first component is demonstrated by successful completion of advanced coursework (of both a didactic and an unstructured nature) and by a passing performance on the comprehensive examination. Traditionally, the student demonstrates the second component by independently performing original research that contributes new knowledge to the field. In many Ph.D. programs, a requirement for graduation is successful publication of the student's original research in a peer reviewed journal. In certain doctoral programs, performing a major project may be acceptable even though it may not consist of traditional research. However, in all programs, with the exception of D.P.T. and D.N.P., a defended, committee-approved dissertation presenting the results of the student’s independent study is required. General course and dissertation requirements for the doctoral degree are published in the Graduate Student Handbook.

Professional Degree Requirements

The Graduate Student Handbook also addresses the professional doctorates that are awarded in preparation for the autonomous practice of a profession (e.g., Dr.P.H.; D.N.P.; D.P.T.; D.Sc.). Professional doctorates are accredited programs of study usually designed to prepare students for the delivery of clinical services or to assume specific types of administrative responsibilities. Students in professional doctorate programs must demonstrate competence in clinical practice and/or scholarship but are not required to conduct and defend original independent research. In lieu of a dissertation, students in programs designated as professional doctorate programs are required to demonstrate that they are capable of evaluating existing research, applying it to their professional practice, and expanding the body of knowledge on which their professional practice is based. This requirement is often met by the design and completion of a research or scholarly project submitted in writing and presented formally before the faculty in the program.

Learning Objectives

Each academic program is required by the University to formulate student learning objectives, measures (direct and indirect), and targets that are appropriate for their field and degree level.

Learning objectives for the undergraduate, master’s, and doctoral programs in the Department of Biology demonstrate progressive rigor among the degree levels.
Courses with Undergraduate and Graduate Enrollment

UAB offers a number of courses that have both undergraduate and graduate enrollment. Examples of syllabi from undergraduate (400-level) and graduate level (500-level) courses and descriptions of difference(s) are provided. In all cases, the graduate course requires an additional level of rigor and proficiency in applying those skills. After review and approval by ADCOM, proposals are then forwarded to the Provost and President. If approved by the Provost and President, proposals are submitted to the Board of Trustees of the University of Alabama and the Alabama Commission on Higher Education for final approval.

Learning Objectives

Graduating biology majors will be able to demonstrate knowledge of the fundamental concepts in the fields of genetics, ecology/evolution/population biology, physiology/development, cell/molecular biology, as well as an understand of the major classifications of life forms.

Graduating biology majors will have knowledge of various technical and laboratory skills including the ability to utilize the scientific method to collect, analyze, interpret, and disseminate scientific data.

Graduating biology majors will be able to effectively communicate biological concepts, principles and scientific findings by written and/or oral means.

Graduating master’s degree students will be able to demonstrate knowledge of (a) the fundamental concepts in general and advanced biology and (b) the scientific literature and findings in a specific research area.

Graduating master’s degree student will be sufficiently trained in technical, oral, and written scientific skills necessary to contribute to the knowledge of biology in a scholarly fashion.

Students will be trained sufficiently in pedagogical techniques and methodologies appropriate for instruction in the biological sciences.

Graduating Ph.D. students in Biology will be able to demonstrate advanced knowledge of (a) biological principles at all levels of biological organization, and (b) the scientific literature and findings in a specific research area.

Students graduating with a Ph.D. in Biology will be able to successfully conduct independent and original research which produces publishable scientific contributions.

Graduating Ph.D. students in Biology will be sufficiently trained in oral and written scientific skills necessary to contribute to the knowledge of biology in a scholarly fashion at a professional level.

Students will be trained sufficiently in teaching techniques and methodologies appropriate to the biological sciences.

Progressively more advanced learning objectives are also demonstrated in a sample of programs offering degrees at the undergraduate, master’s, and doctoral levels and for a sample of programs offering degrees at only two academic levels.

Programmatic Review

New academic program initiatives are developed within a school/college or department. These proposed programs and new graduate course proposals are reviewed for appropriate advanced content and approved by departmental or school/college graduate curriculum committees. New graduate degree programs are subject to additional internal and external reviews of their proposed curricula.

Graduate program initiatives that have been approved by the appropriate department and school/college-level administrators are forwarded to the Dean of the Graduate School and are placed on the agenda of the Graduate Council Advisory Committee (ADCOM), a group of graduate program directors representing each school/college who have been designated by the respective dean to serve in an advisory capacity to the Graduate School Dean and to develop policies and procedures to ensure that high standards for graduate study are maintained at UAB. This Committee evaluates proposed programs based on need for the program, relationship of the program to the mission of the University, curriculum, admissions and degree requirements, program administration, plans for program evaluation, and other factors. Program proposals must include detail on curriculum, including course work requirements, and documentation of what advanced skills students must acquire at both the master’s and doctoral levels, as well as how the students demonstrate their proficiency in applying those skills. After review and approval by ADCOM, proposals are then forwarded to the Provost and President. If approved by the Provost and President, proposals are submitted to the Board of Trustees of the University of Alabama and the Alabama Commission on Higher Education for final approval.

A number of graduate programs offered by the College of Arts and Sciences and the Schools of Business, Education, Health Professions, and Public Health are also individually accredited. These accreditation reviews provide an additional confirmation that the content of graduate programs is appropriate and more advanced at the master’s and doctoral levels.

Course Numbering System

The scholastic level of UAB courses is indicated by the century number. Courses numbered 500 and above are graduate and post baccalaureate courses. Numbers numbered 500-599 are available to upper-level undergraduate and beginning graduate students. Programs allow a limited number of 500-level courses to complete a graduate degree. Those numbered 600-699 are intended primarily for students at the master’s level. Courses numbered 700-799 are primarily for students at the doctoral level, except in the School of Education where the numbers from 700-729 are reserved for courses leading to the degree of Education Specialist (Ed.S.). If new courses are proposed for inclusion in the curricula for new programs, the course numbering decisions are made at the program/department/school level. When the curricula for new programs are reviewed at the ADCOM level, there is consideration of course content relative to the proposed course number. Questions regarding appropriateness of a proposed course number must be justified based on course content and rigor by the department/school.

Courses with Undergraduate and Graduate Enrollment

UAB offers a number of courses that have both undergraduate and graduate enrollment. Examples of syllabi from undergraduate (400-level) and graduate level (500-level) courses and descriptions of difference(s) are provided. In all cases, the graduate course requires the student to complete additional assignment(s), work at a higher level, or otherwise demonstrate greater rigor.

Examples of Additional Requirements in Split-Level Courses
<table>
<thead>
<tr>
<th>Course</th>
<th>Additional or Changed Requirement(s) for Graduate Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>AC 414/514 - Accounting for Governmental and Not-for-Profit Entities</td>
<td>Project is required</td>
</tr>
<tr>
<td>AC 423/523 - External Auditing</td>
<td>Ethics case study is required</td>
</tr>
<tr>
<td>AC 430/530 - Financial Accounting III</td>
<td>Financial case study is required</td>
</tr>
<tr>
<td>BME 408/508 - Advanced Biological Transport Phenomena</td>
<td>Graduate students prepare and present lectures</td>
</tr>
<tr>
<td>BME 461/561 - Bioelectric Phenomena</td>
<td>Additional homework problems and more advanced questions on tests are required</td>
</tr>
<tr>
<td>CDS 400/500 - Fundamentals of Phlebotomy and Body Fluid Collection</td>
<td>A paper is required</td>
</tr>
<tr>
<td>CDS 405/505 - Survival Spanish for Health Professions</td>
<td>A presentation is required</td>
</tr>
<tr>
<td>CDS 420/520 - Competencies in Genetics for Health Professionals</td>
<td>A clinical case assessment is required</td>
</tr>
<tr>
<td>CDS 450/550 - Introduction to Medical History Taking and Physical Examination</td>
<td>A &quot;Comprehensive Lab Skills Demonstration&quot; is required</td>
</tr>
<tr>
<td>EEC 414/514 - Teaching Social Studies in EEC</td>
<td>Assignment on the technology and arts infused lesson plans required</td>
</tr>
<tr>
<td>FR 413/513 - Post-Revolutionary France</td>
<td>Final paper instead of Final Examination</td>
</tr>
<tr>
<td>HCM 416/516 - Financial Management in Health Care Organizations</td>
<td>A case study is required</td>
</tr>
<tr>
<td>MA 472/572 - Geometry I</td>
<td>A term paper (5-10 pages) and oral presentation are required</td>
</tr>
<tr>
<td>MA 485/585 - Probability</td>
<td>Additional homework exercises are required</td>
</tr>
<tr>
<td>MSE 401/501 - Materials Processing</td>
<td>A term paper is required</td>
</tr>
<tr>
<td>MSE 465/565 - Characterization of Materials</td>
<td>Reports and presentation have a higher level of expectation</td>
</tr>
<tr>
<td>NUR 474/574 - Transition to Professional Nursing Practice for RNs</td>
<td>Increased grade emphasis on Scholarly Paper Final</td>
</tr>
<tr>
<td>PH 446/546 - Electromagnetic Theory II</td>
<td>Reduction in partial credit on homework and examinations</td>
</tr>
<tr>
<td>PH 487/587 - Nanoscale Science and Applications</td>
<td>Students must complete an advanced project</td>
</tr>
<tr>
<td>SPA 416/516 - Narrative of the Mexican Revolution</td>
<td>Longer term paper (10 pages versus 6 pages)</td>
</tr>
<tr>
<td>SPA 420/520 - Introduction to Hispanic Linguistics</td>
<td>A term paper is required</td>
</tr>
</tbody>
</table>

**Sources** (In Order of Appearance)

- [PDF] 2014-2015 Graduate Student Handbook (Page 5)
- [URL] Council of Graduate Schools
- [URL] Conference of Southern Graduate Schools
- [PDF] 2014-2015 Graduate Student Handbook (Page 14)
- [PDF] Learning Objectives for Selected Programs Offering Bachelor's, Master's, and Doctoral Programs
- [PDF] Learning Objectives for Selected Programs Offering Degrees at Two Academic Levels
- [PDF] New Program Approval Process
- [PDF] Facts & Figures 2013-2014 (Page 20)
- [PDF] 2014-2015 Graduate Student Handbook (Page 8)
- [PDF] AC 414 514 Syllabus
- [PDF] AC 423 523 Syllabus
- [PDF] AC 430 530 Syllabus
- [PDF] BME 408 508 Syllabus
- [PDF] BME 461 561 Syllabus
- [PDF] CDS 400 500 Syllabus
- [PDF] CDS 405 505 Syllabus
- [PDF] CDS 420 520 Syllabus
- [PDF] CDS 450 550 Syllabus
- [PDF] EEC 414 514 Syllabus
- [PDF] FR 413 513 Syllabus
- [PDF] HCM 416 516 Syllabus
- [PDF] MA 472 572 Syllabus
- [PDF] MA 485 585 Syllabus
- [PDF] MSE 401 501 Syllabus
- [PDF] MSE 465 565 Syllabus
- [PDF] NUR 474 574 Syllabus
- [PDF] PH 446 546 Syllabus
- [PDF] PH 487 587 Syllabus
- [PDF] SPA 416 516 Syllabus
- [PDF] SPA 420 520 Syllabus
3.6.2

Educational Programs: Graduate/Post-Baccalaureate: Graduate curriculum

The institution structures its graduate curricula (1) to include knowledge of the literature of the discipline and (2) to ensure ongoing student engagement in research and/or appropriate professional practice and training experiences.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

At the graduate level, programs serve the career needs of educators and business leaders, as well as those involved in advancing the frontiers of the areas of endeavor represented by the STEM disciplines. Training for health professionals is available through programs at the baccalaureate, master’s, doctoral, and professional degree levels. UAB also has the primary responsibility for meeting the state’s health professional needs. In addition to STEM discipline training, it offers a comprehensive range of programs which encompass both basic preparation and sophisticated graduate and specialty training in medicine, dentistry, optometry, nursing, the health professions, and public health. As one of the nation’s leading research institutions, UAB emphasizes both basic and applied research. Although the majority of the University’s research effort is in the biomedical sciences and other STEM-related areas, students in essentially all instructional programs are expected to participate in some level of research activities. Irrespective of their discipline, students who pursue master’s or doctoral level research training at UAB are engaged in assimilating the basic information in their respective fields by being exposed to, and exploring on their own, the primary literature from the field in which they are training.

Knowledge of the Literature

Graduate students are familiarized with the literature in their respective fields by coming to an understanding that the core course work materials to which they are exposed are predominantly based on the primary literature. Select courses and descriptions demonstrate the foundations on which the courses are based.

Courses Demonstrating Knowledge of Literature
<table>
<thead>
<tr>
<th>Course</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AHD 706 - Strategic Management Theory and</td>
<td>This course enables students to become well-versed in the healthcare strategic management scholarly literature; and ultimately contribute to it. Mastering the healthcare strategy literature requires different skills than those needed to manage an organization strategically. Thus, this course focuses on the relevant literature and not on the process of strategic planning or management.</td>
</tr>
<tr>
<td>Research</td>
<td></td>
</tr>
<tr>
<td>AC 600 - Current Topics in Financial</td>
<td>Consideration of recent pronouncements from various authoritative bodies such as the FASB and SEC through research projects and case discussions.</td>
</tr>
<tr>
<td>Accounting</td>
<td></td>
</tr>
<tr>
<td>ARH 680 - Methods and Approaches to the</td>
<td>This literature-intensive course covers the historiography of the field and a range of theoretical approaches. Should be taken in the first semester of enrollment in the M.A. program.</td>
</tr>
<tr>
<td>History of Art</td>
<td></td>
</tr>
<tr>
<td>CE 674- Green Building Design/Construction</td>
<td>This course provides an introduction to the emerging trends in green building sustainable design and construction. The Course will include instruction suitable to prepare students for the Leadership in Energy and Environmental (LEED) Green Building Rating System certification exam.</td>
</tr>
<tr>
<td>CH 764 - Biophysical Chemistry</td>
<td>Common physical methods for understanding the structure and stability of macromolecules that include several spectroscopic, thermodynamic, and computational methods. Underlying physical principle described, instrumentation discussed, and examples cited from the literature.</td>
</tr>
<tr>
<td>GBS 704 - Introduction to Experimental Medicine</td>
<td>This course will consist of interactive lectures, discussions, and scientific literature reviews demonstrating general principles in biomedical sciences and how defects in these processes are related to human disease or birth defects. Faculty will discuss scientific rationale, logic, and approaches to investigate these processes and provide examples from the primary literature or research ongoing in their laboratories. This will include examples of translational studies designed to develop new therapeutic approaches to treat disease. Students will be evaluated based on written assignments, participation in discussions, and on a class presentation. Required for all first year PBMM Theme students.</td>
</tr>
<tr>
<td>HCO 791 - Policy Analysis: Modeling and Simulation</td>
<td>Training in basic skills necessary to design, test, implement, manage, present, and critique policy analysis in health care sector. Fundamentals of policy research design, and linkage between theory and operation. Various research techniques examined case studies and analyses of secondary data. Emphasis on choosing appropriate analytical strategies for particular policy issues. Data analysis using computers and critical evaluation of technical policy literature. Special topics in econometrics also addressed. Original policy analytic paper required at end of sequence.</td>
</tr>
<tr>
<td>KIN 636 - Current Readings in Physical Education</td>
<td>This course is designed to assist the student in locating, analyzing, and synthesizing professional literature relative to current trends, issues and research in physical education.</td>
</tr>
<tr>
<td>MGE 755 - Systems Biology and Genetic Networks</td>
<td>We will consider systems biology approaches in the context of the human genome project, and with an emphasis on simple model systems. Technologies, biological concepts, and the underlying motivation for this emerging area will be discussed using examples available in the literature. The central focus of systems biology is to acquire a more global and quantitative understanding of how living organisms function as complex genetic systems, and how this might provide a more complete understanding of phenotypic traits.</td>
</tr>
<tr>
<td>NFH 761 - Theory Development in Family Health and Caregiving</td>
<td>This is a survey course in which students develop skill in evaluating selected theories for their current or potential relevance to research on family health, individual health in the context of the family, and family caregiving processes in health and illness. Students become conversant with a range of family and caregiving theories toward the goal of assessing their relevance for further knowledge development in family health and caregiving processes. Students will evaluate whether empirical findings refute or support traditionally accepted or theoretically based knowledge; they will review empirical literature to draw conclusions regarding emerging theories, associated constructs and hypotheses; and they will propose testable theoretically-derived hypotheses and theoretically-driven family focused interventions aimed at altering health status of families.</td>
</tr>
<tr>
<td>PA 619 - Fundamentals of Clinical Research</td>
<td>Course provides students with the foundation of epidemiologic measures the reason for patterns of disease occurrence, the principles of medical surveillance, the methods for investigating disease outbreaks and the principles of diagnostic tests. Students will review study designs, the roles of variability and bias in the interpretation of scientific literature and the principles of clinical decision-making based on the medical literature.</td>
</tr>
</tbody>
</table>

Master’s students in the non-thesis track are often expected to gain insight into the techniques of problem posing and problem solving and to use these insights to prepare a written report. For example, students in the Anthropology program satisfy degree requirements with either a presentation of a research paper at a national meeting or a research paper that has been accepted for publication by a refereed journal. The Criminal Justice program requires its Plan II students to complete a "Demonstration Project," a research paper providing evidence of the student’s proficiency in policies in the field, research methods, and statistics. Plan II of the master’s degree program in Civil Engineering is focused on research and design. Students submit a written report to their graduate study committee chair that must be orally defended.

Master’s students on Plan I (Thesis) track and doctoral students (with the exception of students in the D.N.P. and D.P.T.) delve more deeply into the primary literature as they seek to define their thesis/dissertation projects. Once a project has been defined and faculty advisors have been identified to mentor students in their projects, students spend a great deal of time gaining a comprehensive knowledge of the primary literature related to their project. The thesis/dissertation should present the results of the candidate’s original research and the interpretation of those results. The document should also demonstrate the candidate’s acquaintance with the literature of the field and the proper selection and execution of research methodology. In lieu of a dissertation, doctoral candidates in the D.N.P. program are required to submit a Scholarly Project which serves as a capstone program experience.
Research doctoral trainees are exposed to the literature in their chosen fields in their first and second semesters in a UAB graduate program. In the sciences, with the goal of choosing a dissertation advisor, many programs require that students complete laboratory rotations in their first year. Rotations are usually 8 to 10 weeks in duration, and students are exposed to different areas of research in each laboratory, thereby requiring them to become familiar with the primary literature in different areas in order to complete their Rotation project. Once a dissertation advisor is chosen, usually before the end of students’ first summer in their program, they are then required to delve much more deeply into the primary literature related to their dissertation projects.

**Seminar or Journal Club**

Many programs require their master’s and doctoral students to attend and participate in departmental or graduate program seminar or journal club series. These seminar or journal club courses provide a forum in which invited speakers from other institutions, as well as UAB faculty members, postdoctoral fellows, and advanced graduate students, present and discuss their research, thereby providing students with a broader perspective regarding the primary literature in their field.

Students in the Ph.D. in Biology program are required to enroll in three seminar courses, one outside of the student’s primary area of specialization, in order to gain a broad background in the physical and life sciences. Students in the second year of study in the Graduate Biomedical Sciences programs are required to select a Journal Club, organized by a theme, a department, or a University research center, for participation in each term during the remainder of their Ph.D. training. They also may participate in selected seminars directly related to their primary research or to provide exposure to new scientific areas. The Department of Biostatistics requires its M.S. students to enroll in BST 691 - Pre-Doctoral Seminar Series at least four semesters and its Ph.D. students to enroll at least six semesters.

**Research Experiences**

Many programs require their Plan I master’s students and doctoral students to engage in research activities from their first semester of enrollment in the program, typically to facilitate the selection of mentors with similar research, thus guiding the selection of thesis or dissertation foci. For example, first year graduate students in Chemistry are required to enroll in CH 790 - Introduction to Graduate Research, where students are introduced to the graduate research faculty and their research interests. Students are required to meet with prospective research mentors to discuss interest in the prospective mentor’s laboratory and if needed, schedule three to four week rotations in research laboratories of interest. The Ph.D. in Psychology program requires students specializing in Behavioral Neuroscience to enroll in a research practicum directed by a member of the graduate faculty during each term in residence. The student initially rotates among faculty and laboratories during the first year to obtain breadth in points of view and experimental techniques. Student then chooses a mentor with whom they normally complete the remainder of their research training.

**Professional Practice or Training Experiences**

Programs which prepare students for professional practice often require students to participate in internships, practicums, or other professional practice or training experiences.

Examples include:

- Master of Science in Computer Forensics and Security Management - Both specializations in the program include a required field practicum (internship) that is completed with an appropriate public or private sector agency or organization.
- Master of Public Administration - Students without professional public service experience are required to do a three hour internship (20 hours/week) in addition to required coursework. Typical placements are in city and county government, planning departments, public health agencies, social service agencies, state government agencies, and various nonprofit organizations.
- Ph.D. in Psychology (Medical/Clinical Psychology specialization) - In their final year, students complete an APA-accredited clinical psychology internship in a medical facility.
- Master of Arts in Counseling (Clinical Mental Health Counseling concentration) - Clinical requirements include a Practicum requiring 100 hours minimum with 40 hours of direct client contact and a Counseling Internship which is completed with 600 hours with 240 hours of direct client contact.
- Master of Science in Physician Assistant Studies - The clinical component of the curriculum consists of 9 clinical rotations.
- Master of Science in Health Administration - Students must complete a 12-month administrative residency in a health care organization.
- Doctor of Physical Therapy - PT 770 - Clinical Education I begins during the final six weeks of the second term and consist of one day a week experiences. PT 771 - Clinical Education II and PT 772 - III are one day per week, for ten weeks during terms three and four. PT 773 - Clinical Education IV, PT 774 - Clinical Education V, and PT 775 - Clinical Education VI are full-time rotations and occur in terms seven, eight, and nine, respectively.
- Master of Science in Nursing (Nurse Anesthesia) – The curriculum requires 45 semester hours of clinical practicum, which starts after the first ten months of enrollment.
- Master of Public Health or Master of Science in Public Health (Industrial Hygiene) - In addition to didactic coursework, this track requires a three-month internship in industry which is arranged by the program.

The programs in dentistry (D.M.D.), medicine (M.D.), and optometry (O.D.) have curricula requirements governed by rigorous accreditation standards, American Dental Association Accreditation Standards For Dental Education Programs, Liaison Committee on Medical Education Standards for Accreditation of Medical Education Programs Leading to the MD Degree, and American Optometric Association Professional Optometric Degree Standards, respectively. The curricula for the D.M.D., M.D., and O.D. degrees show the course requirements and schedules. All three programs require extensive knowledge of the literature and prepare students for professional practice.

**Sources** (In Order of Appearance)
3.6.3

Educational Programs: Graduate/Post-Baccalaureate: Institutional credits for a graduate degree

At least one-third of credits toward a graduate or a post-baccalaureate professional degree are earned through instruction offered by the institution awarding the degree. (See Commission policy “Collaborative Academic Arrangements”.)

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The institution requires that the majority of credits required for a master’s or doctoral degree be earned at UAB.

Master’s Degrees

The UAB Graduate School recognizes two principal paths leading to the master’s degree: Plan I (Thesis) and Plan II (Non-Thesis). Plan I requires the completion, in good academic standing, of at least 30 semester hours (24 semester hours of appropriate graduate work and 6 semester hours of thesis research). Plan I requires submission of a defended, committee-approved thesis. Plan II also requires a minimum of 30 semester hours of graduate credit. Although thesis research is not required as part of a Plan II course of study, the student is often expected to gain insight into the techniques of problem posing and problem solving and to use these insights to prepare a written report. Requirements for each plan are outlined in the 2014-2015 Graduate Student Handbook. A summary of credit hour requirements for each degree program at the master's level are provided in the Degree Program Inventory.

The Graduate Student Handbook states that no more than 12 semester hours of transfer credit can be applied to a degree program. Previously earned graduate credit that has not been applied toward another degree (either at UAB or elsewhere) is eligible for transfer into the student’s current degree program. Graduate credit earned with a grade of B or above from another regionally accredited graduate school may be considered for transfer. With approval from the graduate program and Graduate School Dean, this credit can only be applied after the student has taken at least nine credit hours at UAB. Since master’s programs require a minimum of 30 hours, at least 60% of required hours must be completed at UAB.

Doctoral Degrees

The Graduate Student Handbook outlines the minimum course credit requirements for students in doctoral programs and the distribution between course work and research. Students entering with a bachelor’s degree must complete at least 72 credit hours to earn a doctorate. Students entering with a previous master’s degree appropriate to the doctoral degree field must complete a minimum of 51 credit hours.

Program requirements for course work may exceed the Graduate School minimums. Credit hour requirements for each doctoral program are shown in the Degree Program Inventory.

The Graduate Student Handbook states that up to 12 semester hours of course work that have not been applied toward meeting the requirements for an earned degree at UAB or other institution may be used to satisfy doctoral degree course credit requirements upon approval of the graduate program director and the Graduate School Dean. Acceptance of more than 12 hours requires approval by the program director, department chair, and Graduate School Dean. At least 76% of required hours for a doctorate degree must be completed at the institution.

Professional Degrees

Transfer credit for the professional degree programs in Dentistry and Optometry are not accepted. The School of Medicine has limited opportunities for students to transfer, as described on its Admissions website. Only students who are in their third year who have compelling reasons to transfer are considered for positions that become available due to attrition. To be given consideration for transfer, students must demonstrate:

- Academic achievements and other relevant characteristics comparable to those of the medical students in the class the transferring student would join including:
  - Similar premedical academic achievements including meeting our minimum MCAT score requirement and other minimum requirements at the time of admission to medical school
  - Medical school coursework compatible with the coursework of students at the level of the class to be entered
- Students who have failed to keep pace with their medical school class, who are not in good standing at their current medical school or who have any academic or nonacademic problem against them will not be given consideration.

Joint/Shared/Cooperative Degrees

Transfer guidelines outlined in the Graduate Student Handbook state that all graduate credits earned in programs offered jointly by UAB and other universities are eligible for transfer to UAB. However, at least one-third of credits for the degree must be completed at UAB.

Posting of Credits

Once transfer credits are approved, credit is given for equivalent coursework in the student’s academic record with a notation indicating the institution from which the course was taken. Academic transcripts for students majoring in Early Childhood Education, English, and Public Health show transfer credits are clearly designated.
The Graduate School audits each student's degree requirements prior to awarding degrees. This audit includes specific attention to transfer of academic credit. Additionally, curriculum worksheets (for Plan II master's level students only) and approval of the application for degree by the academic advisor and graduate program director indicate a program's review of requirements, including transfer credits. Documentation of these reviews are attached for the same students majoring in Early Childhood Education, English, and Public Health.

Sources (In Order of Appearance)

[PDF] Degree Program Inventory (Page 3)
[PDF] Degree Program Inventory (Page 7)
[PDF] School of Medicine - Advanced Standing Transfer Students
[PDF] Graduate Transcript with Transfer Credit - Early Childhood Education (PhD)
[PDF] Graduate Transcript with Transfer Credit - English (MA)
[PDF] Graduate Transcript with Transfer Credit - Public Health (MPH)
[PDF] Degree Requirement Review - Early Childhood Education (PhD)
[PDF] Degree Requirement Review - English (MA)
[PDF] Degree Requirement Review - Public Health (MPH)
3.6.4

Educational Programs: Graduate/Post-Baccalaureate:Post-baccalaureate program requirements

The institution defines and publishes requirements for its graduate and post-baccalaureate professional programs. These requirements conform to commonly accepted standards and practices for degree programs.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Defines and Publishes

Section 2.2 of the Faculty Handbook and Policies defines Faculty Rights and Responsibilities, which include:

- recommending the designations of degrees
- approving the requirements for degrees
- determining the courses for which students may receive credit toward a degree
- determining course content
- determining program curriculum content
- determining the grades of courses and examinations
- recommending those students who qualify for degrees

The program faculty identify appropriate coursework and establish graduation requirements.

Requirements of all graduate degrees and post-baccalaureate professional degrees (with the exception of D.M.D., M.D., and O.D.) are published in the 2014-2015 Graduate Catalog by program, which are arranged alphabetically by college/school. Additional information is contained on program-specific websites (e.g., degree programs in Vision Science, Graduate Biomedical Sciences, Master of Science in Computer and Information Sciences, Ph.D. in Applied Mathematics).

Each graduate program sets its own standards for admission which are included in the catalog listing for that program. In some cases, the catalog will cite a website for current standards, such as Art Education. Program website information may also include admissions information; examples are the Department of Biology, the School of Nursing, and Graduate Biomedical Sciences. Program standards generally are more specific with respect to (1) undergraduate training, (2) professional experience, and (3) aptitude test and score. Specific catalog examples are Counselor Education, Biology, English, Applied Mathematics, Cancer Biology theme of the Graduate Biomedical Sciences, Business Administration, Advanced Safety Engineering Management Track of the Master of Engineering, Genetic Counseling, and Epidemiology.

The Professional Schools publish program requirements on their respective websites: Dentistry (curriculum, other requirements in its Academic Guidelines), Medicine (Graduation Requirements), and Optometry (curriculum, other requirements in its Student Handbook).

Degree Requirements

All program-related initiatives of new academic programs (majors, concentrations or tracks within majors, certificates) are developed within a school/college or department and undergo curricular review by the faculty. At the graduate level, the Advisory Committee of the Graduate School (ADCOM) is charged with the review and evaluation of proposed graduate programs. This Committee evaluates proposed programs based on need for the program, relationship of the program to the mission of the University, curriculum, admissions and degree requirements, program administration, plans for program evaluation, and other factors. Following the program review, a majority vote of the ADCOM is required for approval. Examples of consideration and action taken by the ADCOM include review of new program proposals for the Master of Science in Biotechnology and Ph.D. in Rehabilitation Science and new tracks within the Master of Engineering program. Approved proposals are then forwarded to the Provost and President. Program proposals approved by the UAB President are submitted to the Chancellor of the University of Alabama System for consideration by the Academic Affairs, Student Affairs, and Planning Committee of the Board and the Board as a whole. Items approved by the Board are transmitted to the Alabama Commission on Higher Education (ACHE), the coordinating agency for higher education in the state of Alabama, for review and approval. ACHE Recommendations for the Master of Science in Biotechnology, Ph.D. in Rehabilitation Science, and new tracks in the Master of Engineering program are provided.

Standards

UAB’s academic requirements conform to multiple, rigorous criteria established by the institution, the Board of Trustees, and ACHE to assure that the degree programs are coherent, suited to their purposes, and appropriate to higher education.

Proposals for new graduate programs address these criteria which are established in the ACHE Criteria for Evaluation of Proposals for New Programs of Instruction: relevance of institutional role, need, collaboration among other institutions, program objectives and content, student availability and demand, program completion requirements, institutional context, program administration, accreditation, resources to support the program, financial support, distance education technology, and program viability. ACHE also requires that new Ph.D. proposals include a consultant’s report, as shown in the proposal for the Ph.D. in Rehabilitation Science.

The accreditation of multiple schools and programs by their respective agencies assures that these programs are appropriate to higher education, coherent, and compatible with their stated purposes. These regular reviews by peer experts examine curricula, resources, facilities, and, in many cases, achievement of student learning outcomes. External reviews of specific disciplines conducted by peers in
those disciplines using criteria that are applied across institutions provide a solid benchmark against which to judge the institution’s programs. No school or program at UAB that has applied for accreditation has not been accredited.

Online programs are subject to same requirements and processes as programs taught in traditional formats.

Sources (In Order of Appearance)

- Faculty Handbook and Policies (Page 17)
- 2014-2015 Graduate Catalog
- Degree programs in Vision Science
- Graduate Biomedical Sciences Cancer Biology Theme
- Master of Science in Computer and Information Sciences
- Ph.D. in Applied Mathematics Degree Requirements (website)
- 2014-2015 Graduate Catalog (Page 74)
- UAB Department of Biology - Prospective Students
- School of Nursing - MSN Admissions
- Graduate Biomedical Sciences - Admissions
- 2014-2015 Graduate Catalog (Page 77)
- 2014-2015 Graduate Catalog (Page 30)
- 2014-2015 Graduate Catalog (Page 33)
- 2014-2015 Graduate Catalog (Page 40)
- 2014-2015 Graduate Catalog (Page 50)
- 2014-2015 Graduate Catalog (Page 66)
- 2014-2015 Graduate Catalog (Page 89)
- 2014-2015 Graduate Catalog (Page 106)
- 2014-2015 Graduate Catalog (Page 143)
- School of Dentistry Curriculum 2013-2014
- School of Dentistry Academic Guidelines
- School of Medicine Graduation Requirements
- School of Optometry Curriculum 2013-2014
- School of Optometry Student Handbook (Page 19)
- ADCOM Minutes - MS Biotechnology
- ADCOM Minutes - PhD Rehabilitation Science
- ADCOM Minutes - Additonal Tracks to MEng
- ACHE Recommendation - MS Biotechnology
- ACHE Recommendation - PhD Rehabilitation Science
- ACHE Recommendation - Additional Tracks to MEng
- ACHE Proposal for a New Graduate Degree Program
- ACHE Criteria for Evaluation of Proposals for New Programs of Instruction
- Program Proposal PhD Rehabilitation Science (Page 217)
- Facts & Figures 2013-2014 (Page 20)
The University of Alabama at Birmingham

This new system will compare the CIP code of a course with the degree CIP code(s) of a potential instructor. To assign an instructor to a system, and will support the schools/college with the exception of the School of Medicine, with uses a separate student information system. The system will be integrated with Banner, the primary student information system. Beginning with Summer 2015 and Fall 2015 class schedule creation, UAB will implement a new system to help ensure that faculty are appropriately credentialed for the courses they teach. This system will be integrated with Banner, the primary student information system, and will support the schools/college with the exception of the School of Medicine, with uses a separate student information system.

Processes to Assure Compliance with Policies

To ensure systematic compliance with policies and procedures for faculty appointment, the Office of the Vice Provost for Student and Faculty Success maintains a website (internet access required) that addresses recruitment and hiring. The Faculty Recruitment - Initial Phase of the Process on this website lists key steps, including completion of the Faculty Recruitment Request (FRR) Form, which must be approved electronically by the Department, Chair, Division Director (when applicable), Affirmative Action/Diversity Officer, Dean (or designee), Faculty Affairs representative, Vice Provost for Student and Faculty Success, and the Provost prior to beginning the candidate search. The FRR form requires budgetary information, nature of appointment (nine or twelve month; tenure, tenure-track, or non-tenure-earning), educational requirements, and the effort distribution among teaching, research, service, and clinical activities. The Checklist for Recruitment and Employment is used to finalize the hiring process. It requires that the hiring department certify that an original transcript is on file. Appointment documentation (including transcript) for all University faculty members is maintained by the faculty member's official, permanent UAB personnel file.

Beginning with Summer 2015 and Fall 2015 class schedule creation, UAB will implement a new system to help ensure that faculty are appropriately credentialed for the courses they teach. This system will be integrated with Banner, the primary student information system, and will support the schools/college with the exception of the School of Medicine, with uses a separate student information system.

This new system will compare the CIP code of a course with the degree CIP code(s) of a potential instructor. To assign an instructor to a course, these course and degree CIP codes must match according to the following rules:

- Identify CIP code of the course.
- Identify CIP code(s) for the graduate degree(s) of the instructor.
- If the course number <= 299 and the first two digits of the course CIP match the first two digits of the degree CIP, then there is a match. Otherwise, there is no match.
- If the course number >= 300 but <= 499 and the first four digits of the course CIP match the first four digits of the degree CIP, then there is a match. Otherwise, there is no match.
- If the course number >= 500 and the first five digits of the course CIP match the first five digits of the degree CIP, then there is a match. Otherwise, there is no match.

Judgment

Compliance □ Partial Compliance □ Non-Compliance □ Not Applicable

Narrative

The University of Alabama at Birmingham employs competent faculty members qualified to accomplish its mission and goals. In determining acceptable qualifications for its faculty, UAB gives primary consideration to the highest earned degree in the discipline. UAB also considers competence, effectiveness, and capacity including, as appropriate, undergraduate and graduate degrees, related work experience in the field, professional licensure and certification, honors and awards, continuous documented excellence in teaching, or other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes. For all cases, the institution is responsible for justifying and documenting the qualifications of its faculty. (See the Commission guidelines "Faculty Credentials.")
• If the course number >=500 and the first four digits of the course CIP match the first four digits of a doctorate level degree CIP, then there is a match. Otherwise, there is no match.

If the course and degree CIP codes do not match according to these rules, the instructor may only be assigned to teach the course if a detailed narrative exception is entered in Banner. This exception must address the reasons why the faculty member is appropriately credentialed to teach the course.

Faculty Rosters

Faculty rosters have been organized to enable readers to view each instructor, courses taught, degrees used for credentialing, and additional qualifications. The faculty roster is organized alphabetically by discipline, which is determined by the academic program of the course. Thus, faculty may be assigned to multiple disciplines. The roster includes the following information for each faculty member serving as instructor of record during Fall 2013 and Spring 2014 semesters:

• Full name and employment status (full-time, part-time, or retired). Each name serves as a hyperlink to additional faculty information including title, department, and if currently teaching.
• This faculty information page also includes a list of all courses taught by the faculty member during the Fall 2013 and Spring 2014 semesters. This information includes course level (undergraduate or graduate) and course title. The identification for each course (CRN number) is a hyperlink to the course description from the 2014-2015 Undergraduate Catalog or the 2014-2015 Graduate Catalog. Team-taught courses are linked only with the course coordinator/instructor of record.
• Academic degrees earned by the faculty member include degree level, major discipline, degree granting institution, and year awarded as entered in the Faculty Database.
• Optional additional qualifications entered by the school or college, such as additional certifications, professional experience, and professional development are included. In cases where the discipline or degree level requirements are not met, additional qualifications are mandatory.
• In many health-related disciplines, a doctoral degree is not offered. In these cases, professional certification(s), licensure(s), and experience are most relevant in determining instructional qualifications.
Credentials

- Faculty Credentials Table
- Faculty Roster Form
  - Roster by Department
    - Accounting and Finance
    - Adv Safety Engineering Mgmt
    - African American Studies
    - Anthropology
    - Army ROTC
    - Art and Art History
    - Behavioral & Population Sciences
    - Biochem and Molecular Genetics
    - Biology
    - Biomaterials
    - Biomedical Engineering
    - Biostatistics
    - Career Center
    - CAS Advising
    - Cell, Dev & Integrative Biolog
    - Chemistry
    - Civil Construc/Environmtl Egr
    - Clinical and Diagnostic Sciences
    - Communication Studies
    - Computer and Information Sci
    - Critical Care
    - Curriculum and Instruction
    - Dean's Office - Education
    - Dean's Office - Engineering
    - Dean's Office - Nursing
    - Dean's Office-Hlth Professions
    - Dean's Office-Public Health
    - Dental Assisting Program
    - Department of Medical Education
    - Dermatology
    - Electrical and Computer Engr
    - Emergency Medicine
    - Endodontics
    - English
    - English Language and Culture
    - Environmental Health
    - Epidemiology
    - Experiential Learning Scholar
    - Family and Community Medicine
    - Family Medicine
    - Foreign Languages
    - General Dentistry
    - Genetics
    - Global/Community Leadership Hon
    - Government
    - Graduate School
    - Health Administration
    - Health Behavior
    - Health Care Org/Policy
    - Health Services Administration
    - Hematology Oncology
    - History
<table>
<thead>
<tr>
<th>Program</th>
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<tr>
<td>Honors College</td>
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<td>Honors Program</td>
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<td>Human Studies</td>
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<tr>
<td>Information Engineering and Management</td>
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<tr>
<td>Information Technology</td>
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<tr>
<td>Justice Sciences</td>
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<tr>
<td>Materials Sci and Engineering</td>
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<tr>
<td>Mathematics</td>
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<tr>
<td>Mechanical Engineering</td>
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<tr>
<td>Medicine</td>
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<tr>
<td>Mgmt, Info Sys &amp; Quant Methods</td>
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<tr>
<td>Microbiology</td>
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<tr>
<td>Mkt, Indus. Dist. &amp; Economics</td>
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<tr>
<td>Music</td>
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<tr>
<td>Neurobiology</td>
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<td>Nursing</td>
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<td>Nutrition Sciences</td>
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<td>Obstetrics and Gynecology</td>
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<td>Occupational Therapy</td>
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<td>Office of Admin &amp; Finance</td>
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<td>Ophthalmology</td>
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<td>Optometry</td>
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<tr>
<td>Oral/Maxillofacial Surgery</td>
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<td>Orthodontics</td>
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<td>Pathology</td>
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<td>Pediatric Dentistry</td>
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<td>Pediatrics</td>
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<td>Periodontology</td>
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<td>Pharmacology</td>
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<td>Philosophy</td>
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<td>Physical Therapy</td>
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<td>Physics</td>
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<td>Postdoctoral General Dentistry</td>
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<td>Prosthodontics</td>
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<td>Provost Office</td>
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<td>Psychiatry</td>
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<td>Psychology</td>
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<tr>
<td>Restorative Sciences</td>
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<tr>
<td>Social Work</td>
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<tr>
<td>Sociology</td>
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<tr>
<td>Student Affairs - Nursing</td>
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<tr>
<td>Surgery</td>
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<tr>
<td>Theatre</td>
</tr>
<tr>
<td>Vision Science</td>
</tr>
<tr>
<td>Women Studies</td>
</tr>
</tbody>
</table>

**Sources** (In Order of Appearance)

- [PDF] Faculty Handbook and Policies (Page 27)
- [PDF] Faculty Handbook and Policies (Page 2)
- [PDF] Faculty Handbook and Policies (Page 21)
- [PDF] Faculty Handbook and Policies (Page 22)
- [PDF] Faculty Handbook and Policies (Page 29)
- [URL] UAB Policies and Procedures Library
- [PDF] Offer Template - Tenure track, Academic (Page 3)
- [PDF] Offer Template - Nontenure track, Academic (Page 3)
Faculty: Faculty evaluation
The institution regularly evaluates the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenured status.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative
The performance of the faculty is critical for UAB achieve its mission "to be a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond."

The UAB Faculty Handbook and Policies establishes the criteria, policies, and procedures to be used to judge the effectiveness of faculty. These sections are also included in the UAB Policies and Procedures Library (internet access required).

Annual Evaluations
These performance appraisals are addressed by Section 2.14 Annual Faculty Evaluations. The responsibility for conducting these written evaluations rests with the department chair (or division director for the School of Medicine only) of the primary faculty appointment. This annual review is utilized for merit salary increases and uses criteria aligned with those for promotion and tenure.

In practice, the policies and procedures used to evaluate faculty vary from one academic unit to another, due in large part to varying emphases on teaching, scholarly activities (research and other creative activities), service, and clinical responsibilities. The individual evaluations are used for salary, tenure, and promotion decisions while the overall evaluations are used in the budget allocation calculations.

Information on teaching effectiveness includes student evaluations of instruction. The IDEA Student Ratings of Instruction system (internet access required) is utilized by The College of Arts and Sciences and the Schools of Business, Education, Engineering, Nursing, Health Professions, and Public Health. This instrument includes a 50% weighing of student rating of "Progress on Relevant Objectives" which are chosen by the instructor. Faculty teaching traditional, blended, and online courses are evaluated in the same manner.

The Instructions for Preparing Tenure and Promotion Applications make clear the importance of annual evaluations to tenure and promotion by including the regular performance appraisals in the documentation for both external evaluations and later administrative review.

Copies of annual evaluations are maintained by the college or school of the faculty member's primary faculty appointment.

Evaluation for Promotion and Tenure
Promotion and/or tenure constitutes a second, longer-term evaluation of UAB faculty and is addressed by Section 2.10 Specific Criteria for Appointment, Promotion, and Award of Tenure. The specific areas to be considered are:

- 2.10.1 Effectiveness as a Teacher
- 2.10.2 Effectiveness in Scholarly Activities
- 2.10.3 Effectiveness in Service Activities
- 2.10.4. Effectiveness as a Librarian

The Handbook further states that, "An individual will be judged by the criteria outlined in this Handbook in proportion to their relative importance to each academic rank, to the type of appointment held by the faculty member, and to the program priorities of the appointing unit. Each faculty member shall be evaluated in these areas by colleagues at UAB, as well as by a minimum of three reviewers outside of the institution qualified to review the faculty member's qualifications. In the area of teaching, student evaluation also should be solicited."

Section 2.11 defines the Procedures for Faculty Appointments, Reappointments, Promotions, and Awards of Tenure. Each school/college and library shall have, and departments may have, written statements of policies that set forth criteria and procedures for new appointments, reappointments, promotions, awards of tenure, leaves, and other matters related to faculty affairs. Section 2.13 addresses procedures and notice for reappointment and non-reappointment of non-tenured faculty.

Annual faculty evaluations will be available on campus for further review.

Sources (In Order of Appearance)

[URL] Policies and Procedures Library
[PDF] Faculty Handbook and Policies (Page 32)
Faculty: Faculty development
The institution provides ongoing professional development of faculty as teachers, scholars, and practitioners.

Judgment

Compliance

Partial Compliance

Non-Compliance

Not Applicable

Faculty professional development is necessary in order to fulfill UAB's mission as a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond. In alignment with the University mission, professional development policies, activities, resources and recognitions are designed to create excellent, effective academicians by helping them to remain current on intellectual and pedagogical issues, improve their research capacities, and develop leadership skills to serve the campus and broader communities.

The Office of the Vice Provost for Student and Faculty Success coordinates university-wide professional development of faculty as teachers, scholars, and practitioners. Additional, discipline-specific development opportunities are offered through schools and centers. The following section describes policies pertaining to institutional support of faculty development and provides examples of the many ongoing professional development options available to UAB faculty members.

University-wide Policies
UAB's Sabbatical Leave and Internal and External Activities policies are examples of how UAB demonstrates commitment to ongoing development of faculty members in their roles as teachers, scholars, and practitioners. These policies and their respective impacts on faculty development are described below.

Sabbatical Leave Policy
The Sabbatical Leave Program as described in Section 4.4 of the UAB Faculty Handbook and Policies allows eligible faculty members to submit a plan for a period of leave to pursue professional development and/or scholarly/creative activities. Sabbatical leave may be spent on campus or off campus, depending on the type of activity to be undertaken. Tenure track faculty members are eligible to apply for paid sabbatical leave once every six academic years of full-time, continuous service, as defined by the faculty member's department and school/college of primary appointment. Sabbaticals are not awarded automatically after six years of service, but are awarded on the basis of individual merit. Faculty members may take sabbatical leave for half a year at full pay or for one whole year at half pay. The Faculty Request for Approval of Sabbatical form is available online at the Faculty Forms and Processes website (internet access required).

Examples of faculty member accomplishments while on sabbatical leave include:

- Scott Brande, Ph.D., Associate Professor of Chemistry, modeled the geometric shapes of Acheulian handaxes from a Pleistocene deposit in the Hula valley and worked with archaeologists and biologists on the paleoecology of molluscan faunas while on sabbatical in Israel.
- Douglas Heimburger, M.D., Professor of Medicine and Nutrition Sciences, traveled to Zambia to solve a medical mystery while on sabbatical. A large-scale antiretroviral therapy program appeared to be hurting rather than helping in famine areas. Dr. Heimburger and the UAB Center for Infectious Disease Research in Zambia discovered a specific nutritional deficiency causing the problem and found a supplement to solve it.
- Chris Kyle, Ph.D., Associate Professor of Anthropology, spent a year-long sabbatical creating a database and writing a book on the spatial analysis of criminal violence in Guerrero, Mexico by examining “regional variation in the incidence of violent criminality and the comparative efficacy of the various state and non-state strategies that have been adopted to suppress it.” His research will help others to understand the underlying causes of violence and its impact on social life in Mexican communities.

External and Internal Activities (Consulting) Policy
Although instruction, research and service are the primary functions of UAB faculty members, UAB recognizes the contributions its highly trained, academic specialists make in the business, industry, governmental, and other professional sectors. UAB encourages members of its faculty to participate in extramural activities that are consistent with their primary responsibilities because service to the community is a means of developing faculty skills, diversity and interpersonal relationships that facilitate scholarship, research, and creative activities.

Section 3.11 of the UAB Faculty Handbook and Policies outlines UAB’s commitment to its faculty members’ external, professional services which contribute significantly to the public welfare, offer opportunities for professional challenge and growth, bring recognition to the institution, and contribute to the improvement of UAB's instructional, research and service programs. Examples of professional development resulting from such internal and external activities include:

- Gary Warner, Director of Research in Computer Forensics, supervised the creation of the UAB PhishIntel system used by more than 300 law enforcement and financial crime investigators. He works with the FBI’s Crime and Complaint Center (internet access required) and has launched a company to help others combat cybercrime by finding malware within their systems.
- David Schwebel, Ph.D., Professor of Psychology, worked with area schools to help protect children by allowing them to use his pedestrian simulator to learn how to navigate traffic safely.
- Nitesh Saxena, Ph.D., a member of the UAB Department of Computer and Information Sciences, led a team to develop the next
Faculty Development Activities

The following sections provide examples of faculty development activities that are offered at both university-wide and school levels.

University-wide Faculty Development Activities

Center for Teaching & Learning

The University’s Center for Teaching & Learning (CTL) was created to organize and coordinate ongoing instructional development activities available to all faculty members. The CTL provides a wide range of training opportunities to help faculty members enhance their pedagogical skills and use of instructional technology. From 2012 through mid-2014, the CTL offered 143 hours of teaching-related training with a combined 1,105 attendees and 32 hours of individual consultations for 75 faculty members. Most of the activities fall under the following teaching enrichment categories.

- **New Teaching Faculty Orientation** – A 1.5 day orientation and quick course on fundamentals of teaching and course management have been offered prior to the start of fall semester for the past two years.
- **Teaching Certificates** – The two certificate programs, Effective Teaching Practice and Instructional Technology, enroll new faculty cohorts each year (62 participants combined for 2012-2014). Participants complete ten topic areas to receive a certificate of completion. These sessions are also open to faculty members who are not enrolled in one of these two certificate programs.
- **Seminars and Demonstrations** – CTL programming has grown in number and diversity of topics since its start in 2012. Nearly 70 sessions on teaching practice topics and 112 sessions on instructional technology topics have been offered. More than 30 individual teaching practice consultations, mentoring sessions, and class observations have been conducted.
- **Workshops** – These events typically require participants to practice some aspects of the session topic. For example, Team-Based Learning (TBL) workshops have been offered in different ways to UAB faculty to help support the new QEP theme of "learning in a team environment." A TBL demonstration in October 2012 led to a two-part workshop in February 2014 that was conducted by the creator of the method, Dr. Larry Michaelsen. Another one-day workshop with Dr. Michaelsen is scheduled for October 2014. Utilizing internal UAB talent to lead TBL workshops has been quite effective with the most recent offering receiving scores >4.5 on a scale of 1-5 for all evaluation categories as listed on the Evaluation Summaries of CTL Activities. The Centers for Teaching & Learning at UAB and the University of South Alabama are discussing ways to collaborate on additional TBL training and jointly developing TBL modules. Another method to allow learning in a team environment is simulation for learning. A multi-disciplinary demonstration workshop conducted in October of 2013 allowed faculty members from the health professions and the arts and sciences to experience a progressive simulation that transitioned to different learning objectives and participate in the reflective debriefing process. This simulation workshop led to cross-department collaborative efforts and the event evaluation scores averaged 4.5 or higher on a scale of 1-5 for all categories as listed on the Evaluation Summaries of CTL Activities.

Service Learning

The UAB Office of Service Learning promotes a method of teaching and learning that intentionally integrates community service into an academic experience. In 2013, the first cohort of Faculty Fellows in Engaged Scholarship was selected with aims to integrate the philosophy, pedagogy, and process of service learning into the UAB academic environment. The second cohort has been selected for fall 2014.

Lister Hill and Mervyn H. Sterne Libraries

Lister Hill Library (LHL) and Mervyn H. Sterne Library resources are available to all members of the University faculty. Librarians and staff provide classes (face-to-face and online) and consultation for a wide variety of professional development topics including teaching. For example, the Reynolds Historical Lecture Series, which takes place each academic year, brings prominent speakers to the University to review, assess, and discuss various historical aspects of the health care sciences. Recent presentations have included "The Rise and Fall of Modern Medicine," by James Le Fanu, M.D., "The Development of Medical Museums in the Antebellum American South," by Stephen C. Kenny, Ph.D., and "Frames Refocused: Black and White Blinded GIs and Social Reintegration in World War II," by Robert F. Jefferson, Ph.D. Since 2011, the Libraries have offered 1,120 hours of faculty development activities with 90.6 hours of that identified as teaching-related.

UAB eLearning and Professional Studies (eLPS)

The eLPS strives to improve faculty expertise in online instruction and course/program design by providing face-to-face training and web-based training on the Canvas learning management system used by faculty for traditional, blended, and online courses. Archived recordings of training sessions (internet access required) are available on demand as well as professionally edited video tutorials and written guides. Training topics cover how to use the Canvas learning management system features, assessment and communication tools, module creation, discussion management, and many others related to design and functionality. Over 600 employees have attended training opportunities for the Canvas LMS from the launch in February 2014 to July 2014.

Disability Support Services

The Disability Support Services provides education and training to all faculty members about regulations for accommodating students with disabilities. This office provides face-to-face training for faculty at different locations on campus as well as online resources. The Disability Support Services Faculty and Staff Training Course Overview provides a listing of the types of modules available to faculty and a listing of the expected learning outcomes. A comprehensive web-based training program is in development in collaboration with the Center for Teaching & Learning.

School-Based Faculty Development Activities

College of Arts & Sciences

The College of Arts & Sciences (CAS) is a unit of 19 diverse departments offering over 40 degrees. Considerable variety is needed for
the professional development needs of its more than 300 faculty. Since 2011, 63 of the 290 hours of faculty development activities have been teaching-related with 515 attending those activities (2,128 attendees for all CAS faculty development activities).

**School of Medicine**
The School of Medicine has 1,100 faculty in 23 academic departments, and its faculty members are engaged in the traditional academic functions of teaching, research, service and clinical care. Since 2011, the School has provided over 940 hours of professional development activities, many of which were related to teaching.

**School of Dentistry**
The School of Dentistry has offered a large number of faculty development activities since 2011 (1,420 hours and 740 attendees total), many of which have application for keeping current in knowledge and skills needed to teach. The School has joined the School of Optometry and the Center for Teaching & Learning in co-sponsoring the monthly Teaching Technology for the Classroom series conducted in fall and spring semesters and is open to all faculty members.

**School of Nursing**
The School of Nursing faculty members are frequent participants in the Center for Teaching & Learning activities. Of the 263.5 hours of total faculty development activities (attended by 3,986) offered by the School since 2011, eight hours of activity (attended by 162) were identified as primarily teaching-related. Additional development activities are evident in the investment by nursing faculty in the learning simulation center (internet access required). The School is growing in its use of high-fidelity patient simulation and partnering with other schools on campus to produce an interdisciplinary experience similar to that in the real clinical setting.

**School of Health Professions**
The School of Health Professions is one of the nation’s largest schools of health professions with more than 1,900 students enrolled in over 20 different academic programs. It is invested in growing international educational partnerships and expanding its role in interdisciplinary learning simulations on campus (jointly funding the Office of Interprofessional Simulation Learning). Leadership training is an important part of the health professions program in the School, and 33.5 hours of faculty and staff leadership training have been provided since 2011 to better prepare faculty for mentoring students in leadership skills.

**School of Optometry**
The UAB School of Optometry has been effective at creative efforts and partnering with other units on campus to provide professional development activities for its faculty (92 hours of teaching-related faculty development activities with 263 attending). In May 2011, the School introduced the Vision Sciences Research Center Visiting Scholars Program, a monthly seminar series. The School partnered with the Center for Teaching & Learning to launch a new faculty development series, Teaching Tech for the Classroom, in May 2013. The format was intentionally different, a strict 30-minute time limit at noon with lunch provided. The content was fast-paced, involved demonstration, and involved at least one item that could be immediately implemented. To increase the number of sessions offered, the School of Dentistry was invited to join in sponsorship of the series.

**Graduate School**
The Graduate School Professional Development Program is designed to help faculty members and graduate students develop communication and other necessary skills. The skills taught have multiple applications with teaching enhancement being one of the most important.

**Research and Scholarship Development**
Research and scholarship development activities geared specifically to the needs of faculty members are provided by the College of Arts & Sciences and Schools of Medicine, Dentistry, Nursing, Health Professions, and Optometry. In most cases, these research development programs are open to faculty members in other schools to encourage collaboration across disciplines. Additionally, the following university-wide research and scholarship development activities are available.

**Center for Clinical and Translation Science**
The NIH-supported Center for Clinical and Translational Science (CCTS) (internet access required) is the primary centralized mechanism for enhancing faculty skills in research methodology, publication, and grant procurement. The CCTS has 895 members, 530 of whom are faculty members. The programs summarized below are open to all faculty members and trainees regardless of CCTS membership status.

- An additional 52 individual presentations and seminars have been attended by 2,772 faculty and staff university-wide since 2011. Recent presentations include:
  - 16-Sep-2014 - Job Negotiation and Promotion in Academic Medicine (Robert R. Rich, M.D.; Professor of Microbiology, Medicine and Medical Education)
  - 29-Apr-2014 - Mentoring: What Have We Learned? (David A. Rogers, M.D.; Senior Associate Dean for Faculty Development)
  - 11-Feb-2014 - The Many Lives of Data (James H. Willig, M.D.; Associate Professor, UAB School of Medicine-Division of Infectious Disease)
  - 10-Dec-2013 - Conflict Resolution (Cecilia Schmalbach, M.D.; Associate Professor of Surgery and Residency Program Director)
  - 8-Oct-2013 - Transitioning to an R01: Perspectives from a Behavioral/Population-Based and a Basic/Clinical Scientist (Isabel Scarinci, Ph.D., M.P.H.; Professor, Department of Medicine, Division of Preventive Medicine and Associate Director for Faculty Development and Education AND Professor, Departments of Cell, Developmental and Integrative Biology; Director, UAB Center for Exercise Medicine)
  - 13-Aug-2013 - Research Ethics: An Ongoing Training Process (Jeffrey Engler, Ph.D.; Professor of Biochemistry and Molecular Genetics, and Associate Dean for Academic Affairs in the Graduate School)
11-Jun-2013 - Leadership and the Integrity Dividend: Leading by the Power of Your Word (Tony Simons, Ph.D., Associate Professor, Cornell University School of Hotel Administration and President, IntegrityDividend.com; authored book of same title).

- Nascent Project Panel (NPP) is a formal trans-disciplinary review group constituted to help junior faculty members with institutional pilot awards or other developmental projects to transition successfully to extramurally-funded K- or R-type grants. The 14-member panel’s expertise includes biostatistics, ethics, health disparities, outcomes and effectiveness, regulatory requirements, and grant writing. Feedback is provided to participants both before and following panel meetings. Eight NPPs were convened with 14 investigators in 2012 and ten NPPs with 16 investigators in 2013.

- Translational Investigator Exchange Services (TIES) is a panel that serves as a “matchmaker” to bring together complementary teams of basic and/or clinical investigators. For example, a clinical investigator with a need for basic science expertise can be matched with a basic scientist or, alternatively, a basic researcher with a finding that may be translatable to clinical application can be matched with a clinical investigator/clinician. Similarly, this mechanism can also be used to match investigators from different disciplines. Six TIES meetings occurred in 2012, eight in 2013, and one in 2014. One of several collisions initiated by the CCTS brought together HudsonAlpha President and Director Rick Myers, Ph.D., with Mel Wilcox, M.D., Director of the UAB Division of Gastroenterology and Hepatology around circulating microRNAs in those receiving colonoscopies for colon cancer screening. The goal of this partnership was to define a non-invasive biomarker test for colon cancer. Investigator-initiated matches have brought together G.M. Anantharamaiah, Ph.D., who is part of the lipid research group in the Division of Gerontology, Geriatrics, and Palliative Care with cardiovascular disease clinicians to discuss shared opportunities.

- The Research Commons (internet access required) directs investigators to research-related services and resources available at UAB and partners in the CCTS Partner Network.

- Clinical and Translational Science Training Program is a weekly two-hour training program that surveys most aspects of clinical and translational research in 25 weekly sessions. Nineteen junior and mid-career investigators participated in 2011, 22 in 2012, 21 in 2013, and 15 in 2014.

- The newly established Research Ethics Forum offers quarterly sessions, addressing broad ethical issues in research such as informed consent, disadvantaged study populations, disparities of power between research collaborators, biorepositories and genetic data, etc. To date, 65 faculty and senior trainees have attended.

The CCTS also offers formal mentoring programs for both trainees and mentors.

- Professional Skills Training Program is a monthly 90-minute lecture series that focuses on management of research teams, oral presentation of research results, writing manuscripts, responsible conduct of research, the human studies approval process, preparation of research grants, responding to pink sheets, and drug development. Approximately 300-400 faculty and trainees participate annually.

**UAB Institutional Review Board and Conflict of Interest Review Board**

The Institutional Review Board provides initial and on-going faculty training that is required before becoming involved with human subjects research. Continuing training is required every two years.

All individuals responsible for the design, conduct, or reporting of research are required, by federal regulation and UAB Enterprise Policy, to complete training on conflicts of interest prior to engaging in research, charging effort to a federally-sponsored program, and every four years thereafter. The Conflict of Interest Review Board provides the required UAB Conflict of Interest (COI) course (available through the UAB Faculty & Staff Learning Center, an online system offering a wide array of training tools and resources) and supplementary COI training (available on the Integrated Research Administration Portal (IRAP) training page).

**Leadership and Professional Service**

University administration is actively involved and invested in developing the leadership and administrative skills of faculty and staff through the following programs.

**Executive Development Program**

Launched in 2012, the Executive Development Program (EDP) prepares faculty and staff members who are already senior leaders for executive-level positions at UAB. The objective is to ensure that UAB has a pipeline of individuals who are prepared to move into critical leadership positions. The inaugural class was chosen from nominations submitted by deans and vice presidents, who worked with Human Resources and the Vice Provost for Student and Faculty Success to identify the characteristics and skills needed to succeed in these roles. The third cohort (Class of 2016) was selected in summer 2014. Some of the key advanced leadership competencies identified for development are the ability to champion change, think strategically, support innovation, and navigate complexity.

**Blazer Leadership Academy**

Conducted by UAB Human Resources, the BLAZE Leadership Academy prepares faculty and staff who have exhibited leadership potential to take on positions of senior leadership. BLAZE Leadership Academy does this by providing an intensive leadership development program (see 2013-2014 Schedule of Activities, internet access required) that combines:

- Team projects
- Case studies
- Skill building
- Expert speakers and panels
- Peer to peer consultation
- Networking opportunities
Equity and Diversity Training

The University provides a two-part Diversity Awareness Education program. Part one is completed online through the University’s Learning System. After successful completion of part one, a face-to-face live session is scheduled. The purpose of this program is to maximize the potential for employee contribution and creativity while promoting a safe work environment. All faculty are required to participate in this program.

Faculty Awards

An important component of faculty development includes recognition of excellence in teaching, research and service. The following link provides examples of some of the faculty awards (internet access required) that are conferred at UAB.

In addition, The Center for Teaching and Learning recently launched a new initiative, the Teaching Development & Innovation Research Awards. The 2013 inaugural competition of what is planned to be an annual event is intended to promote and support faculty innovation and development in instruction and learning on campus. Applicants demonstrated how their proposed projects supported the new QEP theme of learning in a team environment, and priority was given to those who involved colleagues and showed how the activity could be sustained long-term. Eight applications were selected for awards (total of $33,535), and at the conclusion, they will present their outcomes to a faculty audience.

President’s Award for Excellence in Teaching

The President’s Award for Excellence in Teaching recognizes full-time regular faculty members who have demonstrated exceptional accomplishments in teaching. One recipient is chosen from the college and each school including the Joint Health Sciences. Nominations can be made by any member of the student body, faculty, or alumni. Nominations should clearly demonstrate why the nominee should be considered for this award. (Consider accomplishments in teaching such as knowledge of subject, presentation style(s), accessibility to students, fairness, ability to motivate and inspire, promotion of ethical and professional values and behavior, and service and scholarly activities.) Each school has a committee and selects their schools recipient.

Odessa Woolfolk Community Service Award

This award was established by the University of Alabama at Birmingham to recognize one of its faculty who has rendered outstanding service to the Birmingham community in one or more of the following areas:

- Education
- Economic development
- Health care delivery
- The arts
- Social services
- Human rights
- Urban and public affairs

To be eligible, a person must currently hold a full-time regular faculty appointment at UAB, as defined by the UAB Faculty Handbook, and have completed at least one academic year in this position. A person may receive the award only once in any five-year period.

Ellen Gregg Ingalls/UAB National Alumni Society Award for Lifetime Achievement in Teaching

The Ellen Gregg Ingalls/UAB National Alumni Society Award for Lifetime Achievement in Teaching is awarded annually to a full-time regular UAB faculty member who, throughout his/her career at The University of Alabama at Birmingham, has demonstrated an outstanding commitment to the teaching of undergraduate and/or graduate students.

The award shall be based on the same criteria as those specified for the President’s Award for Excellence in Teaching, except that the Ellen Gregg Ingalls/UAB National Alumni Society Award for Lifetime Achievement in Teaching shall be awarded on the basis of a UAB faculty career exemplified by outstanding teaching at the undergraduate and/or graduate level. Outstanding accomplishments in teaching are demonstrated by any or all of the following:

- Broad, thorough knowledge of the subject area and the ability to effectively convey difficult concepts to students
- Exemplary classroom instruction as evidenced by student and peer evaluations
- Fairness, open-mindedness, and accessibility to students in and out of the classroom setting
- An objective, analytical approach to information; clear portrayal of conceptual interrelationships; and intellectually stimulating classroom presentations
- Ability to inspire and mentor students through research activities, special projects (on campus and/or in the community), and publication of their work
- Effective use of innovative teaching methods and assurance that his/her courses stay abreast of current theory and technology
- Promotion of ethical and professional values and behavior among students
- Ability to infuse students with a commitment to life-long learning and professional development
- Service and scholarly activities that provide excellent role models for students

To be eligible a person must have 20 years of service to the University as a full time faculty member and have received the President’s Award for Excellence in Teaching Award.

Distinguished Faculty Lecturer

Any full-time, part-time, or emeritus member with a primary or secondary appointment on the faculty of the University of Alabama at Birmingham Academic Health Center, or a University Professor, is eligible who has:

1. Advanced the frontiers of science or otherwise made a significant contribution to the health of the people, or
2. Made an outstanding contribution to the Academic Health Center through education, research, or public service.
Sources (In Order of Appearance)

- Faculty Handbook and Policies (Page 56)
- Faculty Request for Approval of Sabbatical or Leave Without Pay
- Faculty Forms and Processes
- FBI’s Crime and Complaint Center
- CTL Website
- New Teaching Faculty Orientation
- Teaching Certificate Programs
- CTL Programming and Attendance
- CTL Team-based Learning Workshops
- Evaluation Summaries of CTL Activities
- UAB Service Learning
- UAB Service Learning (Page 3)
- Lister Hill and Sterne Libraries Faculty Development Data (Page 25)
- Lister Hill and Sterne Libraries Faculty Development Data
- UAB Online Canvas Tutorials
- UAB Online Canvas Training
- DSS Faculty Training and Resources Page
- DSS Faculty and Staff Training Course Overview
- CAS Faculty Development Activities
- School of Medicine Faculty Development Activities
- School of Dentistry Faculty Development Activities
- School of Nursing Faculty Development Activities
- Office of Interprofessional Simulation
- School of Health Professions Faculty Development Activities
- School of Optometry Faculty Development Activities
- Vision Science Research Center Visiting Scholars Program
- Graduate School Professional Development Program
- UAB Center for Clinical and Translational Science
- CCTS Faculty Development Activities
- CCTS Mentor Training Agenda (13-Aug-2014)
- CCTS Presentation - Engler (12-Mar-2014)
- UAB Research Commons
- Clinical and Translational Science Training Program Course Schedule
- Research Ethics Forum - Sodeke (21-Nov-2013)
- Professional Skills Training
- Institutional Review Board Training Page
- CIRB Education and Training
- IRAP Training Page
- Executive Development Program
- BLAZE Leadership Academy
- Blaze Leadership Academy
- Equity and Diversity Training
- Faculty Awards
- Teaching Development and Innovation Research Awards
Faculty: Academic freedom

The institution ensures adequate procedures for safeguarding and protecting academic freedom.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Section 3.1 (Principles of Responsibilities) of the UAB Faculty Handbook and Policies lists academic freedom as one of UAB's core values and "preservation and practice of academic freedom" as one of the responsibilities of the faculty as a community of scholars.

The academic freedom policy of the University, adapted from the American Association of University Professors (AAUP) 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments, is defined in Section 3.2 (Academic Freedom) of the UAB Faculty Handbook and Policies and is also found in the UAB Policies and Procedures Library:

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it responsibilities correlative with rights.

Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of other academic duties, but publication or research for pecuniary return should be based upon an understanding with the authorities of the institution. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.

College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as a citizen, they should be free from institutional censorship or discipline, and should make every effort to indicate that they are not speaking for the institution.

Section 3.6 (Standards of Behavior) of the UAB Faculty Handbook and Policies also protects academic freedom by referencing AAUP's endorsement of AAUP's Statement on Professional Ethics, which includes the following language:

As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision.

And:

As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

The importance of protecting academic freedom rights is further enunciated in Section 2.15.1 (Tenure: General Statement) of the UAB Faculty Handbook, which was also adapted from the AAUP 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments and the University of Alabama Board of Trustees Board Rule 301:

Institutions of higher education exist for the common good and not to further the interest of either the individual teacher or the institution as a whole. Achievement of the common good depends, in part, upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and other scholarly activities. Freedom in research and scholarship is fundamental to the advancement of truth. Academic freedom, in its teaching aspect, is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning.

Tenure is a means to certain ends, specifically (1) freedom of teaching and scholarly activities and of extramural activities and (2) a sufficient degree of economic security to make the profession attractive to individuals of ability. Freedom and economic security, hence tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

Section 2.15.1 (Tenure: General Statement) of the UAB Faculty Handbook and Policies further states that by granting faculty a right of continuing employment, UAB meets its responsibilities to ensure that UAB faculty remain free to pursue truth and to propagate knowledge, through both teaching and scholarship, without undue or inappropriate interference from external forces.

The awarding of tenure is a serious and significant step for both the faculty member and UAB. It is not awarded merely on the basis of time in service. Tenure is awarded to individual faculty members upon evidence of the capacity and likelihood for continued intellectual, scholarly, and professional vitality; upon evidence of the ability and willingness to perform assigned duties; and upon evidence of a
sense of responsibility and dedication to make the continuing exemplary performance of duties a reasonable expectation. Protected from arbitrary dismissal and from transient political and ideological currents, the individual faculty member assumes a responsibility to make a continuing effort to achieve the expectations upon which the award of tenure was based.

Absent of cause for termination as defined in the UAB Faculty Handbook and Policies, tenure at UAB is a guarantee that the individual will be given continuing appointment at least at the same faculty rank. Promotion of a tenured faculty member indicates continuation of tenure at the new rank. The services of a faculty member with tenure shall be terminated only for cause or in cases of Bona Fide Financial Exigency, Bona Fide Financial Crisis or Academic Unit Closure at UAB (see also UAB Faculty Handbook and Policies Sections 2.18.1 (Termination for Cause) and 2.18.2 (Termination of Tenured Faculty Due to Bona Fide Financial Exigency, Bona Fide Financial Crisis, or Academic Unit Closure). The requirement of showing cause does not apply in the cases of voluntary retirement or retirement due to disability.

As with any freedom, academic freedom carries with it duties correlative with rights. Tenure at UAB should be regarded as a most valuable possession, signifying a long-term commitment of resources by UAB, matched by the sincere commitment by the faculty member to continued professional growth and achievement.

As specified in Sections 2.13 (Reappointment and Non-reappointment of Non-tenured Faculty Academic) and 2.19 (Grievances (other than appeals)) of the UAB Faculty Handbook and Policies, academic freedom is also supported by the rigorous procedures for review for non-reappointment of non-tenure-earning faculty (2.13) and the adjudication of grievances (2.19). In all these cases, academic freedom is guaranteed by peer faculty review of situations that a grievant believes violate the policy of academic freedom. The faculty’s participation in this process is detailed in Appendices A, B, and C of the UAB Faculty Handbook and Policies.

Since the last reaccreditation review, there have been no formal complaints filed involving academic freedom issues. Any questions regarding academic freedom have been resolved within individual departments.

Sources (In Order of Appearance)

[PDF] Faculty Handbook and Policies (Page 45)
[PDF] AAUP 1940 Statement of Principles on Academic Freedom and Tenure, with 1970 Interpretive Comments
[PDF] Faculty Handbook and Policies (Page 46)
[PDF] Policies and Procedures Library - Academic Freedom
[PDF] Faculty Handbook and Policies (Page 48)
[PDF] Faculty Handbook and Policies (Page 33)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 71)
[PDF] Faculty Handbook and Policies (Page 39)
[PDF] Faculty Handbook and Policies (Page 30)
[PDF] Faculty Handbook and Policies (Page 42)
[PDF] Faculty Handbook and Policies (Page 61)
[PDF] Faculty Handbook and Policies (Page 65)
[PDF] Faculty Handbook and Policies (Page 68)
3.7.5

Faculty: Faculty role in governance

The institution publishes policies on the responsibility and authority of faculty in academic and governance matters.

Judgment

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative

The faculty has significant input at all stages of policy formation and University governance. The faculty have the authority and responsibility to participate in the governance of the University and in academic matters, either individually or through representative committees, at all administrative levels. Section 1.2.2.1 UAB Faculty Participation in Shared Governance in a Community of Learners of the UAB Faculty Handbook and Policies clearly outlines the responsibilities and the authority of the faculty in academic and governance matters. The Handbook states that faculty shall have representation in university-wide committees (1.2.2.1.1 Faculty Representation and Participation on University Committees) and academic unit or departmental committees (1.2.2.1.2 Faculty Representation and Participation on Academic Unit or Departmental Committees) and participate in the evaluation of University and academic administrators (1.2.2.1.3 Faculty Participation in Evaluation of University and Academic Administrators).

UAB Faculty Senate

The UAB Faculty Senate represents the interests of the faculty in matters of governance within the University. Article V, Sections V.1-V.5 of the Faculty Senate Constitution declares the authority, purposes, and powers of the Senate. Section V.1. states:

The senate’s authority derives from the faculty. Its purpose is to represent faculty viewpoints on matters of general interest and concern to the faculty and the University to the President and to advise the President, other administrative officers of the University, and members of the Board of Trustees on such matters.

Standing Committees

The Bylaws of the Faculty Senate institute a set of standing faculty committees which set policy, decide issues, and/or make recommendations to the President and administration of the University within their area of responsibility. These committees and their roles are outlined in Article II of the Faculty Senate Bylaws and include the Senate Executive Committee, Faculty Policies and Procedures Committee (FPPC), the Governance and Operations Committee, the Curriculum Committee, the Finance Committee, the Faculty Affairs Committee, and the Research Committee.

University Committees with Senate Representatives

Section 1.2.2.1.1 of the Faculty Handbook and Policies states that:

Certain University standing committees address issues related to the primary purpose and priorities of the University; these committees have a broad impact and are better informed by faculty representation. Standing University committees for which the Faculty Senate should recommend representatives may include but are not limited to:

- Academic Programs Review Committee
- Advisory Committee of the Graduate Council
- Athletic Advisory Committee
- Bookstore Advisory Committee
- Campus Planning Committee
- Commission on the Status of Women
- Committee of Academic Advisors
- Dean’s Council
- Diversity Advisory Council
- Faculty Development Enrichment Committee
- Fringe Benefits Committee
- Institutional Biosafety Committee
- Joint Compliance Committee
- Naming Committee
- Radioisotope and Radiation Safety Committee
- Retention and Graduation Committee
- University Safety Committee

In addition, “University ad-hoc committees that affect university faculty shall have faculty representation selected by the Faculty Senate.” Article II.1 of the Senate Bylaws addresses the Senate Executive Committee’s responsibility for appointing faculty to University committees. The Executive Committee recommends faculty members who must be approved by both the senate and the President. At the beginning of each Senate year, the Executive Committee provides senate standing committees with an updated list of all university-wide committees. A list of current Faculty Senate representatives to University committees is provided.

Senate representatives to University committees are responsible for informing the Senate of the committee’s deliberations and recommendations. Minutes from the April 2013, December 2013, and June 2014 meetings of the Faculty Senate demonstrate reporting by Senate representatives serving on University committees.
Evidence of Faculty Role in Governance
For university-wide policies, faculty participation in the development and review process takes place through the FPPC representative to the University Compliance Committee (UCC). The University-Wide Policy Development Process flowchart shows the process of review and approval of new and revised university-wide policies and the role of the UCC.

As stated in the Introduction to the Faculty Handbook and Policies, the Handbook "will be reviewed, and revisions will be recommended to the President, by the UAB FPPC of the Faculty Senate, after consultation with the faculty and appropriate faculty groups. Suggestions for changes to the Handbook should be directed to the Chair or members of the UAB FPPC." The Handbook goes on to state that "it is the responsibility of the UAB FPPC to review proposed Faculty Handbook and/or faculty policy changes and to make recommendations through the Faculty Senate to the President. It is the responsibility of the Vice Provost for Student and Faculty Success to assure that changes in policy approved by the President will be transmitted to each dean, department/unit head and distributed to the faculty." Minutes from the FPPC meetings November 2013, January 2014, February 2014, and April 2014 show strong faculty participation in policy matters in concert with administrators and compliance personnel. Current University policies which appear in these minutes are the Authorship Policy and Digital Mass Communication & Content Policy, as well as Faculty Handbook and Policies revisions, such as the Emeritus Appointment Policy.

If the UAB President wishes to make any substantive changes to a policy passed by the Senate, the revised policy is resubmitted for reconsideration by the FPPC and the Senate prior to signature by the President and implementation. Section 2.4 UAB Faculty Policies and Procedures Committee of the Faculty Handbook and Policies states that the Faculty Senate must make final recommendations to the President regarding changes to the UAB Faculty Handbook and Policies or to existing policies and procedures.

School/College/Library Faculty Handbooks
In addition, each school/college/library has written policies on faculty responsibilities and authority, academic policies, and governance matters within that unit. Examples of relevant sections of school/college/library faculty handbooks are listed below this narrative. In line with Rule 306 of the Board of Trustees of the University of Alabama which requires policy consistency by hierarchical order, school/college, library, and departmental policies supplement the UAB Faculty Handbook and Policies and are consistent with University/Board and school/college policy, respectively, and are approved by the Provost.

- College of Arts and Sciences Faculty Handbook (6/22/2011) - Shared Governance Statement
- School of Business/Graduate School of Management Policies and Procedures (4/20/2012) - Section 1.5: Committees; Section 2.6: Faculty Affairs Committee; Section 2.7: Departmental Review Committees; Section 2.8: Faculty Grievance Committee
- School of Dentistry Faculty Handbook (5/17/2013) - Section 1.2.3.3: Chair of the Faculty; Section 1.2.3.4: Executive Council; Section 2.3.1: School of Dentistry Faculty Council; Section 2.4.1: School of Dentistry Committees
- School of Education Faculty Handbook (2012) - Opening paragraphs; Section 3.0: Standing Faculty Committees
- School of Engineering Policies and Operational Guidelines (1/18/2005) - Section 1.3: School Committees
- School of Health Professions Faculty Handbook/Faculty Bylaws (10/2012) - Section 2.1: SHP Faculty Bylaws, Name and Purpose; Section 2.3: Standing Committees
- School of Medicine Faculty Handbook (9/12/2011) - Section 11: School of Medicine Faculty Committees
- School of Nursing Bylaws of the Faculty Organization (4/22/2013) - Article II: Purpose of the Bylaws; Article III: Functions; Article III: Membership and Dues; Article IV: Officers and Their Duties; Article VIII: Committee
- School of Optometry, Department of Optometry Guidelines for Promotion, Evaluation of Teaching, Scholarship, and Service, and Emeritus Status (2000) - Optometry Faculty Advisory Committee
- School of Optometry, Department of Vision Sciences Faculty Handbook and Policies (11/2/2009) - Section 2.6.2: Departmental Policies and Committees
- School of Public Health
  - Charter of the Faculty Assembly, School of Public Health (10/19/2012) - Section II: Mission; Section VII: Faculty Council
  - Bylaws of the Faculty Affairs Committee, School of Public Health (1/9/2008) - Role of the Faculty Affairs Committee in the School of Public Health
- Lister Hill Library of the Health Sciences, Faculty Policies and Procedures (9/17/2010) - Faculty Affairs Committee; Faculty Promotion Committee
- Mervyn H. Sterne Library Policies and Procedures for Librarians (3/20/2007) - Participation in University Governance Forums; Revision of the Policies and Procedures Document; Section 1.7: Faculty Affairs Committee

Sources (In Order of Appearance)

- [PDF] Faculty Handbook and Policies (Page 13)
- [PDF] Faculty Handbook and Policies (Page 14)
- [PDF] UAB Faculty Senate Constitution and Bylaws (Page 5)
- [PDF] UAB Faculty Senate Constitution and Bylaws (Page 12)
- [PDF] Faculty Senate - Senate Representatives to University Committees
- [PDF] Faculty Senate Meeting Minutes - April 2013 (Page 6)
- [PDF] Faculty Senate Meeting Minutes - December 2013 (Page 5)
- [PDF] Faculty Senate Meeting Minutes - June 2014 (Page 7)
- [PDF] University-Wide Policy Development Process
- [PDF] Faculty Handbook and Policies (Page 11)
- [PDF] FPPC - Minutes November 2013
- [PDF] FPPC - Minutes January 2014
### Library and Other Learning Resources: Learning/information resources

The institution provides facilities and learning/information resources that are appropriate to support its teaching, research, and service mission.

#### Judgment

- **Compliance**
- **Partial Compliance**
- **Non-Compliance**
- **Not Applicable**

#### Narrative

The University of Alabama at Birmingham has two libraries providing resources and services to faculty, staff and students that support the mission of the University. Mervyn H. Sterne Library supports teaching and research in the arts and humanities, business, education, engineering, natural sciences and mathematics and social and behavioral sciences. Lister Hill Library of the Health Sciences, Alabama's largest biomedical library, provides services and resources for users in medicine, nursing, optometry, dentistry, public health, health professions, and joint health sciences. The UAB Libraries house roughly 1.58 million volumes (as reported in the Association of Southeastern Research Libraries Statistical Index) that support teaching, learning, research, and scholarship at UAB.

**The Mervyn H. Sterne Library**

The Mervyn H. Sterne 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. It has 142,517 square feet of usable space with a seating capacity of 1,167. Computers are available for student and faculty use. Electronic databases, journals, and e-books are available 24/7 on and off campus with a valid Blazer ID.

The Sterne Library is heavily used by UAB students and faculty. Patron count at the Library has increased each year since 2008-2009 as shown in the Summary of Key Statistics. The Noel-Levitz Student Satisfaction Inventory data of undergraduates indicates that students find library resources to be adequate.

The Library offers core services such as reference and research assistance, research consultations, bibliographic instruction and workshops, and collection development. Online research and citation consultations are available for distance education students.

Library hours of operation have increased over the past several years. Following a pilot project in 2010 (which was repeated in 2011), the Library has extended hours during exams when it is open 24 hours, Sunday–Friday. Hours vary throughout the rest of the year. The Library is typically open from 7:30 a.m. to 2:00 a.m. Monday–Thursday during the fall and spring terms.

The Sterne Library has three main service floors. The first floor underwent a major multi-million dollar renovation in 2009-2010, which added new group study rooms, soft seating areas, group study areas, additional student use computers, and two new classrooms. The renovation also saw the addition of the University Writing Center and a Starbucks coffee shop.

The Circulation Desk, the Reference/Information Desk, the Library administrative offices, the Reference Department, and a collection of computers for students and public use are on the first floor of Sterne Library. The Reference/Information Desk is staffed with Reference Librarians or Library Assistants to assist faculty and staff with research needs. The desk is staffed all hours that the Library is open. The staff are available to off-campus users via telephone, e-mail, instant messaging, and text messaging. Interlibrary Loan services are also located on this level. Computers designated for student-use are equipped with the Microsoft Office suite that includes Word, PowerPoint, and Excel and are networked to black-and-white and color printers. The Reference Collection contains countless subject-specific encyclopedias, almanacs, and handbooks. Offices for the Reference Librarians are located on the first floor, allowing accessibility to patrons. A public-use scanner and an adaptive workstation for the vision- and hearing-impaired equipped with software such as Jaws, OpenBook, Zoom Text, and Dragon NaturallySpeaking is available to library users. Two 40-seat state-of-the-art classrooms are available for instructional use. These classrooms are primarily used by librarians for library instruction but are often reserved by teaching faculty as well. University groups reserve the rooms for workshops and training sessions.

The University Writing Center (UWC) offers free one-on-one writing consultations for all current UAB students. It provides help with all types of writing and at all stages of the writing process. Ask-a-Tutor is an online resource available for students to email specific questions about writing to a tutor, with responses within 48 hours. The UWC also offers online tutoring exclusively for students enrolled in online courses. Throughout the semester, the UWC hosts a number of workshops that are open to the UAB community. Workshops cover a range of topics, including Analyzing Visual Texts, Integrating Resources, Strategies for Editing, and Accelerate Your Dissertation, a monthly workshop co-hosted by the Graduate School. Writing Center consultants will also work closely with faculty to plan writing workshops for their courses that best fit the needs of students. In addition to student workshops, the UWC provides teaching workshops for any UAB faculty who are interested in improving how they teach writing. Possible workshop topics include Using Write-to-Learn Strategies or Creating Rubrics for Writing Assignments.

The Periodical Collection, the Microfilm Collection, and the Juvenile Collection are housed on the second level. An Information Desk is also located on the second floor. The Periodical Collection includes bound periodicals and back issues of magazines, journals, and newspapers in microfilm. Group study rooms are located on the first, second, and third floors of Sterne Library and are available to UAB students, faculty, and staff on a first-come basis for three-hour periods. These rooms have wireless access and can accommodate up to eight people. The Juvenile Collection is a section of children's books supporting curricular areas in early childhood and elementary education at the School of Education. The section contains all of the Newbery and Caldecott Medal books as well as winners of the...
Coretta Scott King Award. The second floor seminar room is used for instruction and has seating for ten, ten computers, and an instructor workstation. A partial renovation of the second floor is planned for 2014.

The Circulating Collection, housing the books available for checkout, is found on the third floor of Sterne Library. Individual study carrels, located on the second and third floors, are lockable cubicles available for three-hour periods to UAB undergraduate students and on long-term assignment to UAB graduate students and faculty. The carrels are equipped with a desk, two bookshelves, a reading light, and a swivel chair on casters.

Lister Hill Library of the Health Sciences
The Lister Hill Library of the Health Sciences (LHL) serves as a Resource Library for the Southeast/Atlantic Region in the National Network of Libraries of Medicine. The Library, established in 1945, is housed in a six level building in the center of campus between the Schools of Medicine and Optometry. The outdoor plaza hosts an overpass walkway that crosses to the Schools of Nursing, Health Professions, and Public Health. The main level of the building contains the integrated service point, called the HUB, reference staff offices, public computers, group study rooms, open seating, and a restaurant. The circulating book collection is on the second floor and is approximately 110,111 volumes. It is available for browsing or checkout. The majority of books purchased in the last few years have been digital. There is also quiet study space around the collection. The third floor of the Library houses Historical Collections, made up of the Alabama Museum of the Health Sciences, The Reynolds Historical Library, and the UAB Archives.

The Alabama Museum of the Health Sciences holds instruments, specimens, and models used by healthcare professionals throughout the world and represents seven hundred years of medicine and ill health. The Reynolds Historical Library contains rare books, pamphlets, and manuscripts in the history of medicine and health-related fields. This collection dates from the mid-14th century to the early 20th century and includes a core of world-renowned medical classics with important concentrations on medicine in the Civil War, the South, and early America. The UAB Archives is the repository for the permanent records of the University, but it also collects and preserves manuscripts that document the history of the health sciences. University records and the manuscript collections include holograph letters, correspondence, photographs, diaries, ledgers, audio and videotapes, and University-related regalia and ephemera.

LHL has 151,457 square feet of space and 456 seats. There are 61 computers available for public use along with three copiers, two printers, and two scanners. The gate count for LHL was 118,113 for 2012-2013. LHL shares three computer testing labs with the Schools of Health Professions and Nursing. There are 153 computers in the testing labs which can be used as one, two, or three spaces.

Faculty and staff in the Reference Department offer a variety of services that may be requested either in person or by telephone, fax, or via the Internet. Library users may also request a librarian-mediated computer search on their topic where trained librarians will conduct a database search on any one of the several hundred databases available for online searching. Lister Hill Library offers a number of different classes and services in retrieving and managing health information. These include library tours, orientations, information retrieval seminars for particular subject specialties and databases, internet classes, and consultations on special information needs. Classes and hands-on workshops may be requested and customized for specific groups.

Access to both the LHL print and media titles and full UAB digital collections is available through the LHL catalog system. This system is available to all and accessible via the LHL website. Users can find items, make requests, link to online content, and renew items through the system. The Lister Hill Library website (internet access required) is open and freely accessible to all users. A version of the site is also available for mobile users and in text version for accessibility by all users. The page includes links to tools and subscriptions, news, calendar, events, all social media accounts, frequently asked questions, and all services.

In addition to the online catalog, the Library provides access to a number of major health-oriented databases. Remote (off-campus) access options are available and free to UAB faculty, staff, and students through the Library webpage. Remote access requires use of a BlazerID and password. License agreements restrict remote electronic access to most of the Library’s purchased resources to current UAB faculty, staff, and students; however, a number of quality free health information resources are also available.

Lister Hill Library provides access to many journals. Most of the journals are online only, with a minority “electronic including a print copy.” Access to the full text for most of these journals is available anywhere in the world to current UAB faculty, staff, and students using their BlazerID and password. All can be accessed by walk-in users to the Library by using a public computer within the Library. Print journals owned by LHL from 1995 forward are housed off site in a nearby UAB building. Older volumes are in closed stacks in the Library basement and do not circulate. The titles are available for patrons to browse, and articles are provided digitally to members of the University at no charge.

LHL also supports library spaces in University Hospital (UH) and in the Kirklin Clinic of UAB Hospital, an outpatient center adjacent to the UAB campus. The mission of LHL@UH is to provide the staff of University Hospital with accurate, reliable, and timely information in support of patient care, education, and research. The Kirklin Clinic Patient Resource Library serves the patients and families of UAB Health System. Located on the second floor of the Kirklin Clinic, the Library is staffed by professional medical librarians and features:

- Skilled medical librarians to help you
- Free brochures from national health organizations on a variety of medical topics
- Books and videos to check out
- Reference materials
- Computers with Internet access for researching health topics
- Books and magazines for leisure reading
- Customized information provided by email, postal mail, or in person
- A small conference room for clinical trial consultations and other uses

Other Library Resources
UAB is a member of the Birmingham Area Consortium for Higher Education (BACHE), a partnership among the five, four-year colleges and universities in the greater Birmingham area. BACHE enhances educational opportunities for students and provides services and
support to the University community through collaborative activities and shared resources. Students, faculty, and staff at BACHE institutions may access the library resources of the member libraries in person or through online research tools listed on the BACHE website (internet access required).

### Interlibrary Loan

Interlibrary loan (ILL) is a service that enables the UAB libraries to borrow materials, usually books and articles, for scholarly purposes from other libraries throughout the world. This service is available to all UAB students, faculty, and staff. Requests may be made online through either of the libraries' websites. Most articles requested through ILL are delivered electronically to the requestor. Books and other non-digital materials are delivered to one of the libraries and may be picked up in person.

Currently enrolled distance education students and faculty who reside outside the Birmingham area and where there are no reciprocal borrowing agreements may request circulating materials or copies of journal articles via Interlibrary Loan. UAB has reciprocal borrowing agreements with 11 universities, colleges, and community colleges.

Sterne Library is a member of the Alabama Libraries Exchange Service (ALLIES), a partnership between several Alabama academic libraries. Currently, the ALLIES libraries include Auburn University, Auburn University at Montgomery, Jacksonville State University, University of Alabama, and University of Alabama at Birmingham. With this partnership, ALLIES patrons can place on-line requests and/or check out items from any of the ALLIES libraries provided they have an approved photo ID and meet the requirements of an ALLIES patron. Currently enrolled undergraduate and graduate students; full-time, currently employed faculty and staff; and retired faculty members as officially designated by their home library are eligible to be an ALLIES patron.

Universal Borrowing allows ALLIES users to identify materials of interest by simultaneously searching the participating libraries' catalogs. Once identified, the availability of a title can be seen in real time. An online form immediately sends the request to the holding library. There, the item is readied for delivery to any participating library for pickup. When the requested item reaches the destination library, the borrower is notified that it is ready for pickup. Throughout this process, the status of the item is always available through the online catalog. The borrower can monitor the status through their patron information record. ALLIES items can be returned to any ALLIES library either in-person or by mail.

### Liaison Activities

Library Liaison activities play an important role at both libraries. These liaison relationships help to foster communication and build connections between the libraries and other areas of campus.

Librarians at each library are assigned as a liaison to one or more schools/college or departments on campus. These liaison librarians are in regular contact with faculty and staff in their assigned academic unit through email, telephone, and in-person visits. Many liaison librarians are invited to attend departmental faculty meetings and new faculty orientation sessions. Liaison librarians are also involved in assisting faculty in their disciplines with advanced research.

Through these relationships, liaison librarians become familiar with the curriculum and course offerings in their assigned units which allows them provide more tailored bibliographic instruction sessions and research guides using LibGuides. Liaison librarians may become embedded in online and hybrid courses to provide dedicated library support to certain classes. This knowledge also assists in decision making on collection development and database selection. Liaison librarians are critical in supporting the teaching, research, and service needs of the university by providing these services.

### Research Guides

Both libraries offer a wide variety of research guides and LibGuides aimed at supporting the teaching, research, and service missions of the University. These guides are focused both on specific classes and general areas of research interest. Research guides are presented in a variety of formats including webpages and PDF. The libraries also use LibGuides to present high quality research information and sources to their users.

### Sources (In Order of Appearance)

- ASERL Statistics 2013
- Sterne Library - Databases
- MHSL Summary Key Statistics
- Sterne Library - Hours of Operation
- MHSL Report on the Extended Hours Pilot Project_2010
- Sterne Library 1st Floor Renovation
- Sterne Library - Meeting Facilities
- University Writing Center
- UAB Historical Collections (Page 2)
- UAB Historical Collections (Page 5)
- UAB Historical Collections (Page 4)
- Lister Hill Library - Reference
- Lister Hill Library - Classes and Workshops
Library and Other Learning Resources: Instruction of library use

The institution ensures that users have access to regular and timely instruction in the use of the library and other learning/information resources.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Lister Hill Library of the Health Sciences

Campus and authorized remote users can request instruction, training, and assistance from the Lister Hill Library (LHL) Reference Department in person at LHL and by phone, fax, email, text, and chat.

The LHL Reference Department offers a number of different classes and services related to the retrieving and managing of health information. These include library tours, orientations, information retrieval seminars for particular subject specialties and databases, and web tutorials developed by LHL librarians and database vendors. The classes are open to all UAB students, faculty, and staff. Librarians also offer one-on-one consultations related specifically to one’s needs. These sessions can be held at the library, in a UAB office or classroom, online via Fuze Meeting, or via chat. 85 consultations were done from July 1, 2012 to June 30, 2013. The librarians participated in 2,685 chat sessions with users during the same time frame.

From July 1, 2012 to June 30, 2013, the Library provided 274 training/educational/orientation sessions to 4,853 students. Some of these sessions were open, scheduled classes (Express Training) and others were requested by faculty for a specific class and customized for that group of students. The Express Training events were offered both face-to-face in the Library and online via Fuze Meeting. Topics for the sessions included:

- Basic Search Skills
- CINAHL
- APA Style
- Citing Sources
- Cochrane Database
- Dynamed
- Endnote (Basic and Advanced)
- Evidence-Based Practice
- Finding Evidence
- Finding Full Text
- Google Scholar
- Health Literacy
- NIH Public Access Policy
- PubMed
- SCOPUS
- Writing a Literature Review
- Zotero

Historical Collections, part of LHL, seeks to actively encourage and contribute to historical scholarship through lectures, publications, and teaching activities when and where appropriate. Included in the totals above, Historical Collections provided 85.75 hours of history and honors course instruction to 1,012 students in 2012-2013.

Student evaluations of classes and workshops, conducted in person and online, generally show that more than 80% of respondents find the sessions "useful" or "very useful."

Mervyn H. Sterne Library

Students, faculty, and staff can receive instruction, training, and assistance from the Sterne Library Reference/Information Desk in multiple ways: in person, by phone, email, text, and chat, or by appointment with a librarian.

The Reference Department offers formal, course-related instruction through its Information Literacy and Library Instruction Program. The program is designed to help UAB students master the wide range of print and electronic sources now available so that they can complete more thoughtful, interesting, and scholarly research assignments. The program is aimed at helping students develop the skills necessary for coping with increasing amounts of information and for becoming independent, life-long learners. Faculty can request a library instruction session for a class by contacting any reference librarian or by completing an electronic instruction request form. During the 2012–2013 academic year, Sterne Library provided 272 faculty-requested instruction sessions for 5,826 students. During the 2011–2012 academic year, Sterne Library provided 258 faculty-requested instruction sessions for 5,491 students. Workshops at Sterne Library are open to all UAB students, faculty, and staff. A sampling of previous and current workshops includes:

- Basics of Google Scholar
- Citation Managers Workshop
- Copyright in the Digital Age
Prior to 2009, Sterne Library provided in-class evaluations of instruction, but librarians found that these surveys only gave a snapshot of the attitude in the classroom; the survey results did not indicate whether the instruction made a difference to the student after he/she left the classroom and on subsequent assignments. In fall 2009, the Library began sending surveys to faculty at the end of the semester. The goals of the revised survey were to determine whether students found the instruction helpful after the session and whether the faculty found that the students were using more scholarly and reliable resources after the instruction session. Surveys were sent to all faculty who had scheduled instruction and all students who indicated that they would participate in a survey about instruction. The survey was administered through SurveyMonkey, an online survey platform, and included 10 questions for each group. The questions were multiple-choice, yes/no, and fill-in-the-blank. As an incentive, one person was chosen from faculty respondents and one from student respondents to receive a $10 gift card from Starbucks.

Response rates varied by year, with an average 31% response rate for faculty and 15% response rate for students. Faculty survey results from 2012 and 2013 and student survey results from 2012 and 2013 indicated that both groups were getting what they needed from the classes. Recurring responses indicated that Sterne librarians utilized both subscription resources and free web-based resources, depending on the class topics; sessions were tailored to topic, class, and audience; librarians were teaching the research process; and librarians were contributing to lifelong learning.

The Reference Department offers online interactive tutorials including a Plagiarism Tutorial and WIT: Web-based Interactive Tutorial. The Plagiarism Tutorial introduces students to the topic of plagiarism and UAB’s policies regarding academic integrity, gives students examples of several types of plagiarism, and gives students strategies to avoid plagiarism. WIT is a tutorial to teach basic library and research skills. It covers the research process from topic selection to citation styles.

Reference librarians offer research and citation consultations throughout the academic year and during the summer terms. These consultations are individualized instruction appointments geared toward a specific topic or assignment. The Library also offers individualized and group instruction on other tools such as EndNote, EndNote Web, Zotero, Google Scholar, and ICPSR. These sessions are offered to distance students using Blackboard Collaborate.

Despite an increase in bibliographic instruction sessions being taught through the Sterne Library, there remained an unmet need for more in-depth information literacy instruction than could be offered during the typical one-shot library session. To address this need, several librarians developed semester long, hands-on certificate programs aimed at teaching students key research techniques and sources tailored to their academic disciplines. Three programs are currently offered: Business, Education, and Social Sciences. The Business Research Certificate Program was awarded the 2012 Springshare Innovation in Academic Libraries Award. As of the spring 2014 semester, 489 certificates (396 in Business, 79 in Education, and 19 in Social Sciences) have been awarded. Results from the spring 2014 Business Research Certificate Program participant exit survey showed that the program met expectations and that a majority of attendees had applied knowledge gained to their job or coursework.

During the 2012–2013 academic year, Sterne Library provided 282 research and/or citation consultations for 302 students and 93 workshops for 1,483 students, faculty, and staff. The Library provided 14 community-requested instructional sessions for 430 participants. Additionally, Sterne’s Information/Reference Desk assisted 24,614 users with reference and informational questions. Sterne Library’s instruction and outreach programs support UAB’s Carnegie Foundation for the Advancement of Teaching classification of research university with very high research activity and community engagement.

The Library offers copyright information and resources to the campus community on its website. It also offers campus-wide copyright workshops and individualized copyright consultations for students, faculty, and staff.

Sterne Library also plays an important role in providing instruction, training, and assistance to distance education (DE) students. Reference librarians offer research consultations and citation clinics to DE students through Blackboard Collaborate. Collaborate allows librarians to provide real-time assistance to DE students using Collaborate’s screen share and voice tools just as they would receive during an on-campus consultation. DE students may also take advantage of a variety of reference assistance options including telephone, chat, text, and email. Reference librarians are embedded in a number of online courses. These embedded librarians create course-specific tools and tutorials for the DE students while giving them an opportunity to interact with subject specialist librarians on course assignments and projects. Course and subject specific research guides are available on the Library’s website and are updated regularly. Instruction in using and embedding library resources into Blackboard is offered for faculty teaching online and blended courses. A guide for incorporating resources into Canvas is under development.

Sources (In Order of Appearance)

- LHL Ask a librarian
- Lister Hill Library - Classes and Workshops
- UAB Historical Collections
- UAB Historical Collections (Page 6)
- UAB Historical Collections (Page 10)
- LHL class evaluation
- Sterne Library - Information Literacy
- Sterne Library - Workshops
Library and Other Learning Resources: Qualified staff

The institution provides a sufficient number of qualified staff - with appropriate education or experiences in library and/or other learning/information resources - to accomplish the mission of the institution.

Judgment
- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative

A sufficient number of qualified staff are employed to carry out the mission of both the Mervyn H. Sterne Library and Lister Hill Library of the Health Sciences (LHL). The table below shows the numbers and types of staff that provide services to faculty, staff, and students.

<table>
<thead>
<tr>
<th></th>
<th>Lister Hill Library</th>
<th>Sterne Library</th>
<th>Total System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional Staff</td>
<td>19</td>
<td>17</td>
<td>36</td>
</tr>
<tr>
<td>Support Staff</td>
<td>25</td>
<td>34</td>
<td>59</td>
</tr>
<tr>
<td>Student Assistants</td>
<td>0</td>
<td>1.8</td>
<td>1.8</td>
</tr>
<tr>
<td>Total</td>
<td>44</td>
<td>52.8</td>
<td>96.8</td>
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</tbody>
</table>

The minimum criterion for the initial appointment of an individual to a faculty position as a librarian is a master's degree from a library school accredited by the American Library Association (ALA) or a master's degree in an area related to the individual's work assignment. Additionally, all librarians and professional staff must meet UAB requirements for faculty advancement including professional service and scholarly activities. These requirements are published in Mervyn H. Sterne Library Policies and Procedures for Librarians and Lister Hill Library of the Health Sciences Faculty Policies and Procedures.

Sterne librarians are well credentialed to provide outstanding service and instruction. All 16 librarians hold a master's degree from an ALA accredited library school. Additionally, one librarian holds a Doctor of Education degree, six librarians hold a second or third master's degree, and one holds a Juris Doctorate. Sterne librarians average 20.5 years in the profession. Librarians in LHL are also very qualified. Eight of the 17 librarians hold a second or third master's degree. LHL librarians average 11 years in their current positions and 18 years in the profession.

Participation in professional development activities enhances staff members' ability to provide quality library services to their users. Consequently, faculty and staff in both libraries engage in professional development activities such as attending major professional conferences and meetings of national, regional, and state library organizations.

Rosters for faculty and staff in Mervyn H. Sterne Library and Lister Hill Library demonstrate their educational qualifications, professional experience, and professional development activities.

The professional librarian to student ratio (including both libraries) is 486 to 1. This number puts UAB Libraries near the midpoint for professional staff to student ratio among all ASERL libraries.

Sources

- Sterne Library Policies and Procedures for Librarians (Page 12)
- LHL Faculty Policies & Procedures (Page 16)
- Library Roster - Mervyn H. Sterne
- Library Roster - Lister Hill
- ASERL Survey Data
3.9.1

Student Affairs and Services: Student rights

The institution publishes a clear and appropriate statement of student rights and responsibilities and disseminates the statement to the campus community.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The University of Alabama at Birmingham is a community of scholars and learners; therefore, all participants are expected to maintain conduct that:

1. Facilitates the institution’s pursuit of its educational objectives.
2. Exhibits a regard for the rights of other members of the academic community
3. Provides safety to property and persons.

Student Conduct

Academic Conduct

UAB expects all members of its academic community to function according to the highest ethical and professional standards. The UAB Academic Honor Code represents a commitment to integrity in the academic community and a respect for an individual's educational endeavors:

I have read and, by choosing to become a member of the UAB academic community, accept the UAB Academic Honor Code. I understand that violation of this code will result in penalties as severe as expulsion from the university. I promise and confirm that I will not, at any time and under any circumstances, involve myself with abetting, cheating, plagiarism, fabrication, or misrepresentation while enrolled as a student at the University of Alabama at Birmingham.

The Honor Code is published in the 2014-2015 Undergraduate Catalog and the 2014-2015 Graduate Student Handbook. It is also made available on multiple websites, including UAB Students, the Graduate School, and school-specific websites providing resources to online students (such as Business). Students are also informed of the Honor Code at New Student Orientation (Freshman, Transfer).

All UAB students are expected to be familiar with the UAB Academic Honor Code as well as any honor codes that are specific to their schools/college or disciplines.

Violations of the UAB Academic Honor Code are punishable by a range of penalties, from receiving a failing grade on an assignment to an F in the course to dismissal. Any course grade of F for academic misconduct supersedes any other grade or notation for that class. Withdrawal from a course while a possible violation of the Academic Honor Code is under review will not preclude the assignment of a course grade that appropriately reflects the student’s performance prior to withdrawal if the violation is substantiated.

Non-Academic Student Code of Conduct

The University of Alabama at Birmingham publishes a thorough, clear, and appropriate statement of students' rights and responsibilities in its Non-Academic Student Code of Conduct (internet access required). UAB's Non-Academic Student Code of Conduct is based substantially on A Model Student Disciplinary Code, a suggested template supported as a best practices model by the ASCA. The Non-Academic Code of Conduct describes prohibited student conduct and the conditions under which the University would apply the Code. It may hold students accountable for their behaviors both on and off the campus. It applies equally to students at all levels, in all disciplines, and to both on-campus and distance education students.

By accepting admission to and enrolling at the University of Alabama at Birmingham, students are obligated to align their behaviors with the values of the university, the Non-Academic Student Code of Conduct, and any other university policies and procedures as stated in Section I of the Policy. Section III defines "student" as any person admitted to the University of Alabama at Birmingham, whether full-time or part-time, pursuing undergraduate, graduate, or professional studies, and who is either currently enrolled or was enrolled the previous semester and registered for a future semester.

The Office of Student Engagement, which administers the Code, makes it available to all members of the University community through publications, online resources, orientation sessions, and educational programs. The University publishes the Non-Academic Student Code of Conduct and disseminates this policy in the 2014-2015 Undergraduate Catalog and 2014-2015 Graduate Handbook, on multiple websites (including the Office of Student Engagement and School of Medicine) and in the student handbook, Direction. Students are informed of these rights and responsibilities at New Student Orientation (Freshman, Transfer); in course syllabi; in the student newspaper, Kaleidoscope; and annually in the electronic student newsletter, GreenMail, sent via email to each student's UAB email address. Additionally, the Undergraduate Student Government Association hosts a Student Forum each semester where all students are invited to attend and raise any concerns, ask questions, and engage in conversation with the President, Provost, Vice Provosts, Deans, and representatives from each area of student services.

Documentation of procedures for handling non-academic misconduct has been provided for incidents involving undergraduate and graduate students.
Student Rights
FERPA
Student rights are protected by the Family Educational Rights and Privacy Act (FERPA), which is available on the UAB FERPA website and the UAB Policies and Student Records website. Students are notified of their FERPA rights annually through an email message sent to their UAB address.

Campus Security
As mandated by the federal Jeanne Clery Disclosure of Campus Security Policy and Campus Statistics Act, the University publishes the Annual Security and Fire Safety Report. This report is published on the UAB Police Department website and is disseminated annually in GreenMail. The report is also available through the Mervyn H. Sterne Library. The report provides campus crime reported to campus security authorities and/or local law enforcement agencies and fire data for the student housing facilities.

Grievances
Complaints by students on academic matters are the responsibility of the department and school involved. It is the responsibility and prerogative of the dean alone to make, in a timely manner, a decision on any academic disputes which have not been resolved at lower levels, and the decision of the dean is final. Grievances by students on non-academic matters that cannot be handled by individuals who are directly involved should be formally filed with the appropriate office. If resolution of the issue is not successful, students may submit the formal complaint with the Provost for further consideration.

Best Practices
UAB uses best practices in its management of student rights and responsibilities, and student affairs staff continually seeks information to improve its policies. Specifically, the Association of Student Conduct Administration (ASCA), the leading international organization for the student conduct profession, provides specific recommendations on codes of conduct and student conduct processes, and it keeps its members informed on current issues to help universities conform to sound education principles. For example, with the recent change in federal policy for Title IX and Campus Sexual Violence Elimination (SaVE) Act requirements and recommendations, the Non-Academic Student Code of Conduct was revised, and the Office of Student Engagement was charged by the Assistant Vice President for Student Life to provide oversight and resources, identification and reporting, investigations and response, as well as addressing remedies, consent, substance abuse, and bystander education. All undergraduate and graduate students, faculty, and staff will take part in Every Choice, a new online, video-based program by Green Dot, etcetera aimed at reducing campus sexual assault and dating/domestic violence, as well as an ongoing educational program that recognizes both early and imminent warning signs of a potentially violent situation. Participants in Every Choice will gain a better understanding and be able to describe how to report, react, and respond in violent situations and identify, demonstrate, and apply multiple options for bystander intervention.

Faculty and staff are provided ongoing training and education as it relates specifically to the rights and responsibilities of students by the Office of Student Engagement. The Faculty and Staff Red Folder is a resource that faculty and staff receive electronically and in print annually. The Red Folder provides contact information for student services on campus and in the community and is a resource for dealing with distressed students.

Sources (In Order of Appearance)

[PDF] 2014-2015 Undergraduate Catalog (Page 66)
[PDF] Students - Academic Honor Code
[PDF] Graduate School - The UAB Academic Honor Code
[PDF] Collat School of Business - Resources and Expectations for Online Students (Page 3)
[PDF] New Student Orientation - Freshman (Page 5)
[PDF] New Student Orientation - Transfer (Page 5)
[URL] Non-Academic Student Conduct
[PDF] A Model Student Disciplinary Code
[PDF] Non-Academic Student Conduct (Page 2)
[PDF] 2014-2015 Undergraduate Catalog (Page 67)
[PDF] 2014-2015 Graduate Student Handbook (Page 20)
[PDF] Student Engagement (Page 4)
[PDF] School of Medicine - Policies & Procedures - Behavior
[PDF] Direction Student Handbook (Page 249)
[PDF] New Student Orientation - Freshman (Page 13)
[PDF] New Student Orientation - Transfer (Page 15)
[PDF] CAS 112 Syllabus
[PDF] Kaleidoscope - Notice of Non-Academic Conduct (Page 7)
[PDF] GreenMail - Non-Academic Student Code of Conduct (Page 2)
[PDF] Student Forum
[PDF] Non-Academic Student Code of Conduct Case (Undergraduate )
3.9.2

Student Affairs and Services: Student records

The institution protects the security, confidentiality, and integrity of student records and maintains security measures to protect and back up data.

Judgment

[Compliance]  [Partial Compliance]  [Non-Compliance]  [Not Applicable]

Narrative

The University of Alabama at Birmingham is committed to protecting the security, confidentiality, and integrity of student academic records through the enforcement of applicable federal, state, and institutional policies.

The UAB policies and guidelines governing the security, confidentiality, and integrity of student records and their source include:

- Data Protection and Security Policy - addresses protection and maintenance of UAB data in accordance with all applicable federal and state laws and university policies (UAB Policies and Procedures Library)
- Information Disclosure and Confidentiality Policy - addresses disclosure of UAB records to individuals or entities, confidentiality of information, and disposal of confidential documents (UAB Policies and Procedures Library)
- Student Records Policy - addresses compliance with the Family Educational Rights and Privacy Act of 1974, as amended (UAB Students website)
- Records Retention Policy - addresses appropriate records management (UAB Policies and Procedures Library)
- Acceptable Use of Computer and Network Resources Policy - addresses use of UAB computer and network devices (UAB Policies and Procedures Library)
- Connecting Devices to the UAB Voice, Data, and Video Network Policy - addresses access to UAB networks (UAB Policies and Procedures Library)
- Digital Mass Communications and Content Policy - addresses use or creation of digital mass communications or digital content (UAB Policies and Procedures Library)
- Board of Trustees Rule 105 "Ownership and Preservation of Records and Files" - addresses ownership of records (The Board of Trustees of the University of Alabama Board Manual)
- Data Custodian Responsibilities - defines responsibilities and duties of data custodians (UAB Information Technology website)

Types of Student Records

The UAB Student Records Policy defines the educational record as any records, files, documents, and other materials that contain information directly related to a student and which are maintained by UAB or a party acting for UAB.

The student education record includes directory and non-directory information. Both types reveal personal information about a student. Directory information is information that may be disclosed by the university without prior consent of the student and which is considered part of the public record of the student’s attendance. Directory information includes a student’s name, address (local and permanent) telephone number, e-mail address (e.g., blazerID@uab.edu), date and place of birth, major field of study, participation in officially recognized activities and sports, dates of attendance, degrees and awards received, the name of the most recently attended institution, and a photograph of the student. Directory information will not be disclosed if a student elects to "opt out" by sending a written request for non-disclosure to the Office of the Registrar no later than the 15th day after the first day of registration for each term. Students may find this information and the Request to Withhold Directory Information form on the UAB Students website (internet access required) and in BlazerNET, the student portal. This information "hold" can only be removed with written notification of the Registrar by the student.

Non-directory information is distinguishable from directory information in that it personally identifies the student but cannot be released by the university absent the consent of the student, legal process, or an applicable FERPA exception. Non-directory information includes information that is not public in nature, such as grades, social security number, student number, and other information that would make the student personally identifiable.

Employee Training and Notification

Many UAB faculty and staff need access to student academic records in order to perform their duties and are held accountable for protecting confidentiality, integrity, and security of the records they access. Prior to gaining access to student information as defined by their roles, requestors must participate in FERPA education via the UAB Faculty & Staff Learning System. The online course content is designed to give users an overview of the federal law on student records and UAB related policies, as well as the guidelines for the appropriate use of student records. Upon completion of the course, the user must complete an online test demonstrating his/her understanding of these policies and guidelines.

Users must acknowledge and accept the security warning below before accessing UAB information:

By accessing this system you are agreeing to comply with FERPA regulations, the UAB Student Records Policy, and any other applicable Information Security agreements in place. These include, but are not limited to, refraining from the disclosure of your password to anyone, keeping information confidential except as necessary for conduct of official UAB business and safeguarding all downloaded data. Anyone whose actions lead to a breach of privacy may have access privileges removed and may be subject to disciplinary action.

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The University of Alabama at Birmingham

The University of Alabama at Birmingham

The recommended retention period for Student Education records is outlined in the UAB Records Retention Schedule. The Records Retention Schedule takes into account the minimum retention periods for records subject to the RDA. When University records reach the end of their minimum recommended retention periods, they must be properly disposed of in accordance with the Destruction of University Records Procedures.

Retention and Destruction of Records
The management of University records from creation to destruction is accomplished in a uniform manner that promotes compliance with laws, regulations, and judicial proceedings, promotes appropriate business objectives, and allows for the management, maintenance, and replacement of associated information systems technology in an efficient and cost-effective manner. The University Compliance Office provides oversight of the policies related to retention and destruction of records.

Records maintained by UAB must be maintained in accordance with the Public Universities of Alabama Functional Analysis and Records Disposition Authority (RDA). The RDA, approved by the Alabama State Records Commission, lists the records of the public universities in Alabama with retention requirements and provides authorization for the disposition of these records.

The UAB Records Retention Policy establishes guidelines requiring all UAB operating units to institute and implement an appropriate records management program applicable to the following categories of records:

- Administrative
- Athletics
- Student Education
- Fiscal
- Legal
- Personnel
- Public Relations
- University Police
- Conducting Research
- Patient Records

The University manages physical security of record storage by requiring badge access for building entry and more restrictive data center access. In the event of a disaster, all data backups are replicated to the disaster recovery site at Alabama Supercomputer Authority. The Banner database is backed up nightly; weekday and weekend backups are retained for two weeks and six months, respectively. A monthly backup is kept as a permanent record. Requests for system to system access to the server must be approved by the data security office before a firewall rule is put into place. Physical access to the servers is limited to select support individuals with proper access rights to the secured computer room. Developers do not have access rights to the servers and only have inquiry access to the production database.
Access to Information

Student confidentiality rights related to educational records are guaranteed by the Family Educational Rights and Privacy Act (FERPA). Information is available in Direction, the student handbook; the Graduate Student Handbook; on a public website maintained by the Office of the Registrar; and the UAB Policies and Student Records website. Students are notified of their FERPA rights annually through an email message sent to their UAB address.

Information found in the UAB student record is accessible only by students, the student's parents (if the student is a minor), and University employees who require access to this information to perform job duties. Students must grant parent/guest access privileges in order for them to view a limited component of the student record, including:

- current charges
- estimated future charges for the upcoming term once registered
- financial aid awards and award status
- academic history, academic standing, grade point average, courses taken
- current registration

The general policy of UAB is not to provide access to student education record information to third parties, absent the written consent of the student. Should a student wish to have his/her education record information released, a written request, signed and dated, must be directed to the proper records official, specifying the records to be released, the reason for release, and the party or class of parties to whom records are to be released.

FERPA provides a number of exceptions to the rule requiring consent for the disclosure of personally identifiable information from student records. A complete list of exceptions is found in the UAB Student Records Policy.

Requests for access to Banner are submitted to the Registrar's Office by the academic unit and proceed through multiple levels of approval at the school/college level, with final approval and access granted by the Registrar. Justification for the request includes the user's role, the information to be accessed, and the intended use of the information. Completion of the FERPA course is verified before access is granted. Banner access is automatically revoked when employees leave the payroll organization through which access was given.

User access to student record information in Banner is authenticated by the use of the Blazer ID and associated password such that users are uniquely identified. Activities in Banner are tracked and logged by user, date/time of access, and item accessed. Control methods limit an authorized user's access (View or Update) depending on the user's role. Update privileges are extremely limited to certain administrative offices (such as Financial Aid, Student Accounting, and the Office of the Registrar).

Integrity of Student Records

Accuracy of information in the student record is ensured by various types and levels of control. For example, the undergraduate Application for Degree can only be submitted by students classified as seniors (having earned at least 90 semester hours of credit) and only for the degree program in which the student is enrolled.

Final course grades are submitted during a window of time at the end of each term by the instructor of record or a designee. If multiple courses or sections are taught by the same instructor, grades for each course or section are reported on separate pages. Only approved grade types (letter grades versus pass/fail) are available in a selection menu, which reduces the incidence of error. N for "no grade reported" and I for "incomplete" coursework are temporary notations used at UAB. If an instructor does not submit a grade at the end of a semester, a temporary grade of N will be recorded. In both instances, if no permanent grade has been reported by the end of the following semester, an F will automatically be entered in the student's academic record.

Students, including those in the Schools of Dentistry, Medicine, and Optometry, can initiate changes to personal information found in the student record. Students who need to change mailing address or phone number information can either update it through BlazerNET or at One Stop Student Services (with photo identification). A legal name change can only be done in person at the One Stop and the Office of the Registrar and must be accompanied by a legal document (such as a marriage certificate or court order) and a photo ID.

Sources (In Order of Appearance)

[PDF] Data Protection and Security Policy
[PDF] Information Disclosure and Confidentiality Policy
[PDF] Policies and Student Records (Page 3)
[PDF] Records Retention Policy
[PDF] Acceptable Use of Computer and Network Resources
[PDF] Policy for Connecting Devices to the UAB Voice, Data, and Video Network
[PDF] Digital Mass Communications and Content Policy
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 45)
[PDF] UAB - Information Technology - Data Custodian Responsibilities
[URL] UAB Policies and Student Records
[PDF] BlazeNET - Links and Forms (Students)
3.9.3

Student Affairs and Services: Qualified staff

The institution provides a sufficient number of qualified staff - with appropriate education or experience in the student affairs area - to accomplish the mission of the institution.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

UAB is a research university and academic health center that discovers, teaches, and applies knowledge for the intellectual, cultural, social, and economic benefit of Birmingham, the state, and beyond. To fulfill the goals of this mission, Student Life and Student Support Services provides inclusive programs and services for students throughout the 'student life cycle,' from recruitment to graduation and all of the stages in between. Comprised of 106 qualified professionals, the areas address the entire UAB student population which is comprised of 18,568 students, as reported in Facts & Figures 2013-2014. The composition of the student body is as follows: 11,502 undergraduates; 1,007 Post Baccalaureate Degree-Seeking and Non-Degree Seeking, and other undergraduates; 561 Graduate Certificates, Non-Degree Graduates, and Post Master's. The remaining are enrolled in Master's programs (4,089 students); Doctoral programs (1,355); and 1,062 students are studying for their Doctor of Dental Medicine (D.M.D.), Medical Doctor (M.D.), or Optometry Doctor (O.D.) degrees.

UAB is in the process of developing a revised strategic plan, and the narrative below addresses Student Life and Student Support Services' efforts in support of the previous strategic plan mission, which contained six goals.

I: Transforming Undergraduate Learning
We will provide a student-centered, collaborative learning experience to prepare diverse students for rewarding careers and lives that benefit society and our regional and global economy.

II: Transforming Graduate and Professional Education
We will offer exceptional graduate and professional programs that prepare diverse students to lead, teach, conduct research, provide professional services, become the prominent scholars and societal leaders of the future, and contribute to our region’s prosperity.

III. Research and Scholarship
We will expand UAB’s capability to discover and share new knowledge that benefits society, spurs innovation, fosters the region’s economic development, and further positions UAB as an internationally renowned research university.

IV: Service to Community and State
We will partner with our community and state to improve education, health, quality of life and economic development.

V: Community/Financial Support
We will partner with the larger community to garner financial and other support to achieve our common goals.

VI: Living/Learning/Working Environment
We will create a consumer friendly, positive, supportive, and diverse environment in which students, faculty and staff can excel.

Student Life and Student Support Services furthers the mission of the University through each of its areas as it focuses along two main areas of emphasis: 1) Administration and Quality Improvement and 2) Student and Faculty Success. See organization chart. The directors from Student Life and Student Support Services meet on a monthly basis to discuss current happenings, communicate news, and provide updates on the progress of each of the areas. The Student Services Council (SSC) is co-chaired by the Assistant Vice President for Student Life and the Executive Director for Academic and Student Services. Each of the schools and college are also represented by their associate/assistant deans. Involving all of the stakeholders in the SSC allows the Division to further the mission of the University by addressing Goal I: Transforming Undergraduate Learning. The meetings are "student-centered" and "collaborative." The SSC also helps the University meet Goal VI: Living/Learning/Working Environment. The sharing of information and collection of feedback is integral to growing a "consumer friendly, positive, supportive, and diverse environment in which students, faculty and staff can excel."

As detailed in Goal VI, creating a positive supportive environment for students is a role the Student Health and Wellness Center addresses. The Center provides counseling and general medical care services to meet the physical and emotional needs of students. A staff of eleven clinical care physicians and counselors provide direct patient care, direct counseling, crisis intervention, and conduct phone consultations. Recently, a new Center was opened, and the director who was hired for the Health and Wellness Center has a background that includes more than 25 years of experience.

Academic and Student Services also furthers the mission by helping to create a consumer friendly living, learning, and working environment in which students, faculty, and staff thrive (Goal VI). The Campus Recreation Center (internet access required), staffed with ten personnel, provides fitness programming for students, faculty, and employees. Fitness schedules are available for a variety of workout needs. Additionally, Housing and Residential Life (internet access required) conducts programming for students housed across five residence halls. Fifteen professional staff persons work together for the important area of housing.

Goal I asserts that UAB will provide a student-centered experience, and Goal VI describes the environment as being consumer friendly,
positive, and supportive. **One Stop Student Services** (internet access required), a division of the Office of Institutional Effectiveness and Analysis, supports the institutional mission by providing generalists who can help students by liaising across the traditional, admission, registration, and records departments of the University. One Stop counselors give assistance with student identification cards, paying bills, and filing general applications regularly required of various areas such as the Registrar, Financial Aid, Student Accounting and more.

The UAB student population is diverse across areas of study as well as cultures and backgrounds and presents a multitude of needs for this urban campus which stretches across 90 city blocks. The diversity of UAB is demonstrated by the race/ethnicity proportions of the student body which are as follows: 60% White, 26% Black or African American, 5% Asian, 2% Nonresident Alien and 3% Hispanic. Students indicating, “Race/ethnicity unknown”32 and, “Two or more races,” comprise 4% of the population. No students report American Indian or Alaska Native or Native Hawaiian or other Pacific Islander as their race/ethnicity. Goals I and VI directly address diversity by seeking to prepare diverse students for rewarding careers and positions which benefit society and in creating a diverse environment in which students can excel. Services are offered to support the unique, multi-cultural landscape of the campus. Enrollment Management offers International Recruitment and Student Services for international students. Student Life conducts programs through Multicultural and Diversity Programs. These programs also address Goal II in offering leadership opportunities. **Study Away** provides services for exchange students as well as on-campus students studying abroad, and **TRIO Academic Services** gives support to students who are first generation college students with low socioeconomic backgrounds. The Multicultural and Diversity Programs area oversees the Blazer Male Excellence Network (BMEN) providing African American male students a common freshman course and mentors who help students persist in their studies.

Enrollment Management furthers the mission by structuring programs that are catered to meet the needs of students from a variety of backgrounds thereby growing the supportive and diverse environment noted in Goals I, II, and VI. They also provide leadership experiences for students, preparing them for rewarding careers and to serve as leaders of the future. The Office of New Student Programs offers **Parent and Family programs**, hosts **campus tours**, trains students to serve as new student orientation leaders, and welcomes new students to campus through orientation sessions. The **Transfer Center** (internet access required) addresses the large proportion of students articulating credit hours from other institutions, both community colleges and four-year universities. **Veteran Services** (internet access required) recruits and assists veterans with benefits information, resources, and scholarship opportunities.

Engagement is an important part of getting acclimated to college life. Student Life addresses this need with seventeen professional staff members supporting athletic spirit teams, Greek organizations, student groups, and student media. Student Involvement manages **Greek Affairs, Leadership Programming, and Civic Engagement**. Each area addresses Goal I in being student-centered; Goal IV with community service events; and Goal VI in creating a consumer friendly, positive, supportive and diverse environment. **Welcome Week activities** represent the many opportunities students have to become involved. The **Leadership and Service Council** organizes community service events and coordinates with the Office for Service Learning, for initiatives such as **Hunger and Homelessness Awareness Week**.

Retention Initiatives and Academic Engagement is comprised of fifteen professional staff members in **Disability Support Services (DSS)**, **Service Learning, Study Away, TRIO Academic Services, Undergraduate Research, and the University Academic Success Center (UASC)**. Adding to the work of Goal II to discover and share new knowledge that benefits society and is internationally renowned while supporting students to become prominent scholars and involved in the community, these areas promote academic engagement and self-advocacy among students who need accommodations. The UASC provides free tutoring, academic workshops, and supplemental instruction sessions for all students. The UASC also coordinates with the **Math Learning Lab and the University Writing Center** to ensure there is not a duplication of services and that students are receiving wrap-around support. The Math Learning Lab and Writing Center are housed within the Mathematics and English Departments in the College of Arts and Sciences. The Writing Center employs 12.5 employees utilizing nine professional staff who deliver ten hours of writing per week, while the Math Learning Lab employs 28 individuals including 23 graduate students and mathematics interns experienced in tutoring and three staff members who manage the lab. Finally, **Campus Dining Services** employs 20 individuals consisting of 13 staff persons, four full-time administrative support positions, one part-time support staff, and two student assistants.

**Career Services** (internet access required) serves as a resource for students at all points in their academic study. With nine staff members covering Marketing and Employer Relations, Career and Professional Development Services, Assessment and Research, and liaising with the schools, Career and Professional Development Services directly addresses Goals I and II in preparing students for rewarding careers and leadership.

Goal VI addresses the living/learning/working environment for students, faculty and staff and seeks to cultivate success. Student Life and Student Support Services personnel are encouraged to participate in professional development and are evaluated on their performance annually. The **Organizational Learning & Development** office within Human Resources offers on-campus training opportunities in computer skills, performance, administrative duties, regulatory training, and talent management. Staff members may choose sessions to attend with their supervisor’s approval. Staff members are encouraged to advance their skills through opportunities beyond those provided within the campus community, as well. Attendance at professional conferences is supported within budget limitations. Additionally, many members of the professional staff in Student Life and Student Support Services teach courses, pursue additional degrees, conduct research, produce scholarly publications, and serve in leadership roles for professional organizations.

The Department of Human Resources requires all supervisors to complete annual written evaluations for employees. Supervisors must also develop work plans with support staff and complete performance appraisals of all classified staff annually as required by University policy. This process ensures that employees are aware of expectations, receive timely feedback about their performance, and receive opportunities for training and development. Talent Management is also an important program for ensuring the campus recruit, retain, and advance employees with superior skills. Leadership training is an important component of Talent Management, and a number of staff members have participated in the **BLAZE Leadership Academy**. Leaders in executive-level of the organization may have an opportunity to participate in the **UAB Executive Development Program** which focuses on building a pipeline of skilled leaders prepared for promotion.

The total number of professional staff offering support services to students is 123.5. There are 23.7 full-time administrative support personnel; 5.5 part-time administrative support positions; 34.5 graduate student positions; and 410 undergraduate student positions
employed on-campus. The total number of individuals providing service to students through Student Life and Student Support services is 601.75 across seven areas. The number of qualified staff in Student Life and Student Support Services and their qualifications are provided.

Sources (In Order of Appearance)

[PDF] Student Affairs and Services Organizational Chart
[PDF] New Health and Wellness Center 2014
[PDF] Health and Wellness Director
[URL] Campus Recreation Center
[PDF] Campus Recreation Center - Fitness Home
[URL] Housing and Residence Life
[URL] One Stop Student Services
[PDF] Facts & Figures 2013-2014 (Page 37)
[PDF] Information for International Students Brochure
[PDF] Multicultural & Diversity Programs
[PDF] UAB Office for Study Away
[PDF] TRIO Academic Services
[PDF] Blazer Male Excellence Network
[PDF] BMEN Syllabus
[PDF] Parents Hub
[PDF] Campus Tours
[URL] Transfer Center
[URL] Veterans Services
[PDF] Greek Affairs
[PDF] Leadership Programs
[PDF] Civic Engagement
[PDF] Welcome Week
[PDF] Leadership and Service Council (LSC)
[PDF] Leadership and Service Council Hunger and Homelessness Awareness Week
[PDF] Disability Support Services
[PDF] Office for Undergraduate Research
[PDF] University Academic Success Center
[PDF] Math Learning Lab
[PDF] University Writing Center
[URL] Career and Professional Development
[PDF] Organizational Learning & Development
[PDF] BLAZE Leadership Academy
[PDF] Executive Development Program
[PDF] Qualified Staff
[PDF] Qualified Staff Roster
3.10.1

Financial Resources: Financial stability
The institution’s recent financial history demonstrates financial stability.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

UAB’s financial ratios and bond ratings indicate that the institution has a sound financial base and fiscal stability.

Financial Ratios
The ratio of "Expendable Financial Resources to Direct Debt" shows historical stability. Any ratio that exceeds 1:1 indicates that the institution has sufficient liquid assets to satisfy related liabilities. The chart below indicates a three-year history of this ratio and shows consistent numbers in excess of 1:1. During FY 2013, the institution issued $189 million in new debt resulting in a declined ratio. Management anticipates the ratio to remain stable in FY 2014. It is not feasible to project this ratio beyond FY 2014 due to implementation of new accounting standards.

Another measure of financial stability is the ratio of "Actual Debt Service to Operations" which is expressed as a percentage. Financially stable institutions show consistently low percentages of debt service costs in relation to its unrestricted operations funds which means that these institutions have sufficient resources available to cover the cost of its debt. The chart below shows that the percentage of debt service costs that must be paid from UAB’s unrestricted operations funds is consistently low.

Bond Ratings
The University of Alabama at Birmingham
In the past three years, UAB has commissioned two bond ratings, one from Moody’s Investors Service and one from Standard and Poor’s Ratings Services (the most recognized and trusted bond rating company worldwide). The bond ratings are as follows:

- In 2013, Moody’s rated UAB’s General Revenue Bond issue ($76,595,000 series A2 and $3,095,000 series C) an Aa2 indicating a stable financial outlook for UAB.
- Standard and Poor’s rated UAB’s General Revenue Bonds, series 2013 A2 and 2013C, at AA- confirming Moody’s confidence in UAB.

The institution has not experienced major changes in unrestricted revenues and expenditures in recent history.

Qualified and Experienced Staff

The staff chosen to manage the various financial functions are required to be knowledgeable and experienced in their fields of expertise, which also contributes to the financial stability of the institution. When job descriptions for UAB positions are developed, the Human Resources Compensation Department reviews proposed job descriptions and minimum requirements against peer institutions and the appropriate salary surveys to determine best practice. Further, for executive level jobs, UAB typically uses an outside recruiting firm which assists in refining best practice minimum requirements for those roles.

UAB maintains position descriptions for finance personnel which provide the basis with which to measure the qualifications of candidates for vacancies. These descriptions provide the duties, educational requirements, experience requirements, and other required abilities for their respective positions. The recent appointment of the Vice President for Financial Affairs and Administration warrants specific mention. G. Allen Bolton Jr. will join UAB 1-Oct-2014 as Vice President for Financial Affairs and Administration after a national search; his CV is included. Curriculum vitae and position descriptions of responsible financial personnel are provided in the table below.

### Qualifications of Finance Personnel

<table>
<thead>
<tr>
<th>Position</th>
<th>Incumbent (Link to CV)</th>
<th>Job Description (Link)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vice President for Financial Affairs and Administration (to 31-Aug-2014)</td>
<td>Richard L Margison</td>
<td>Job Description</td>
</tr>
<tr>
<td>Vice President for Financial Affairs and Administration (from 1-Oct-2014)</td>
<td>G. Allen Bolton, Jr</td>
<td>Job Description</td>
</tr>
<tr>
<td>Chief Financial Officer</td>
<td>Patricia Raczynski</td>
<td>Job Description</td>
</tr>
<tr>
<td>Asst. VP and Controller</td>
<td>Patricia Raczynski</td>
<td>Job Description</td>
</tr>
<tr>
<td>Asst. VP and Treasurer</td>
<td>John Pelliccio</td>
<td>Job Description</td>
</tr>
<tr>
<td>Director, Bond Compliance and Reporting</td>
<td>Marc Booker</td>
<td>Job Description</td>
</tr>
<tr>
<td>Director, Compliance Audits and Reporting</td>
<td>Beverly Matlock</td>
<td>Job Description</td>
</tr>
</tbody>
</table>

Sources (In Order of Appearance)

- [PDF] Moody’s Bond Rating Letter
- [PDF] S&P Bond Rating Letter
- [PDF] Bolton to return to UAB as VP for Financial Affairs and Administration
- [PDF] CV - Richard L Margison
- [PDF] JD - VP Financial Affairs and Administration
- [PDF] CV - G. Allen Bolton, Jr
- [PDF] CV - Patricia Raczynski
- [PDF] JD - CFO
- [PDF] CV - Stephanie Burgess Mullins
- [PDF] JD - Asst VP Controller
- [PDF] CV - John Pelliccio
- [PDF] JD - Asst VP Treasurer
- [PDF] CV - Marc Booker
- [PDF] JD - Dir Bond Compliance and Reporting
- [PDF] CV - Beverly Matlock
- [PDF] JD - Compliance Audits and Reporting
3.10.2

Financial Resources: Financial aid audits
The institution audits financial aid programs as required by federal and state regulations.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative
The institution's financial aid programs are audited annually in accordance with the provisions of OMB Circular A-133.

On July 1, 1994, UAB began participating in the federal Direct Student Loan Program (FDSL) that was established under the Higher Educational Act of 1965. The audits are conducted as required of participants in FDSL and other federal student financial assistance programs, Federal Work-Study, Federal Pell Grant, Federal Supplemental Educational Opportunity Grant, and Federal Perkins Loan.

No "material weaknesses" were identified in the most recent 2013 A-133 audit. There was one finding last year regarding Return of Title IV funds. The University's leadership has addressed these issues by implementing, in May 2013, a procedural change whereby all Return of Title IV refunds are calculated in Banner. In addition, in May 2013, the institution’s IT department changed the scheduled run time of the report of student withdrawals to prevent the exclusions of any student withdrawals in the future. The A-133 required by the U.S. Office of Management and Budget shows that the institution meets the Financial Responsibility Standards. For details, see the A-133 Audit for the fiscal year ending September 30, 2013.

Sources (In Order of Appearance)

[PDF] 2013 A-133
3.10.3

Financial Resources: Control of finances

The institution exercises appropriate control over all its financial resources.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

University administration adheres to the standards promulgated by the Government Accounting Standards Board and the generally accepted accounting principles and standards of the American Institute of Certified Public Accountants.

As shown in the UAB Organizational Chart (effective 1-Sep-2014), the Vice President for Financial Affairs and Administration, who reports to the President, provides overall management of the University's fiscal activity through the Office of UAB Chief Financial Officer (CFO). The Financial Affairs Organization Chart shows that the following departments report directly to the CFO: Treasury/Cash Management, Cost and Space Analysis, University Purchasing, Payroll Services and Budget Administration, and the Controller's Office, which oversees Accounts Payable, Equipment Accounting, Expenditure Review Services, General Accounting, Grants & Contracts Accounting, and Student Accounting.

The staff selected to manage the various financial functions are required to be knowledgeable and experienced in their fields of expertise in order to carry out duties and responsibilities as described in Key Financial Management Personnel Job Descriptions. The Human Resources Compensation Department reviews proposed job descriptions and minimum requirements against peer institutions and the appropriate salary surveys to determine best practice. Further, for executive level jobs, UAB typically uses an outside recruiting firm which assists in refining best practice minimum requirements for those roles.

The departments of Financial Affairs have duties and responsibilities that are segregated to establish proper oversight for financial transactions. They provide the appropriate level of control and ensure compliance with external and internal policies and procedures, such as cash handling policies and expenditure review procedures. After review and approval by the appropriate budgetary units, all financial transactions are reviewed, approved, and recorded by these departments as applicable.

The Treasury/Cash Management Department manages and invests UAB's daily operating funds. Cash Management is a subset of Treasury Management which incorporates the tasks of providing funds and funding to the organization and attempting to influence the elements of working capital for the purpose of increasing UAB's liquidity. All funds are invested within guidelines outlined in Board Rule 404 as established by the Board of Trustees of the University of Alabama (the Board). The Board oversees all investment activities, monitors investment performance, and ensures the prudent control of the investment of funds for the University through the System Investment Manager. Treasury/Cash Management works in conjunction with the System Investment Manager to accomplish the investment goals of the Board for the University.

Endowments are also managed in accordance with Board Rule 404. All endowment funds must be invested in the University of Alabama Pooled Endowment Funds (UAPEF), absent donor restrictions to the contrary. Endowment funds not invested in the UAPEF are held as Separately Invested Endowments or as Campus Endowments. Separately Invested Endowments are managed at the UA System Office level, and Campus Endowments are managed by the UAB General Accounting Department following Endowment Procedures.

The Board has also established Board Rule 410 outlining what is required to be presented to the Board for review relative to the operating budgets of the campuses of the University of Alabama System. This rule designates the responsibilities of the Chancellor relative to the preparation of budgets and establishes an Annual Operating Budget Cycle indicating the steps that should be included in the annual budget process. At the campus level, most of the budgetary and control measures are resolved at the dean, department head, and division/center director levels. Major budgetary issues that have university-wide impact require approval at the level of the Provost or President.

The University's administrative systems provide budgetary units with online access to their financial account data. In addition, the accounting departments generate and distribute monthly account statements, financial statements, and other reports that provide current month and year-to-date activity. Budget variance reports are also included. These reports are reviewed by the administrators of the applicable budgetary units. Financial reports are also provided to senior management showing the financial performance of the total institution. The reports are used to make financial decisions and to assess the financial performance of the institution.

Bond ratings provide an overall picture of an institution’s present and projected financial health, and appropriate control over financial and physical resources is a primary criterion in bond rating evaluations. In the past three years, UAB has commissioned two bond ratings, one from Moody’s Investors Service and one from Standard and Poor’s Ratings Services. In 2013, Moody’s rated UAB’s General Revenue Bond issue ($76,595,000 series A2 and $3,095,000 series C) an Aa2 indicating a stable financial outlook for UAB. Standard and Poor’s rated UAB’s General Revenue Bonds series 2013 A2 and 2013C at AA- confirming Moody’s confidence in UAB. These ratings indicate that the right financial decisions are being made at UAB and that the appropriate offices and personnel are making those decisions.

Further, each year UAB commissions an independent audit (including any applicable management letter) from an independent auditing agency. In 2011, 2012, and 2013, the auditor was PricewaterhouseCoopers, one of the nation’s most respected auditing agencies. In FY 2012, PricewaterhouseCoopers issued an unqualified opinion of UAB’s financial statements. In addition, there was no management letter issued. In the 2010, 2011, 2012 and 2013 financial statements and their accompanying A-133 auditor’s reports,
PricewaterhouseCoopers stated that UAB was establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to federal programs.

The University of Alabama System Office of Internal Audit provides internal audit services to UAB. This office reports to the UA System. Recommendations from Internal Audit are addressed by UAB management. The Board, through its Audit Committee, exercises oversight of the internal and external audit functions of the institution (as written in Board Rule 407), which includes, but is not limited to:

- in conjunction with the System Chancellor, appoint, remove or replace the chief audit executive in charge of the internal audit function;
- appoint independent, nationally recognized accounting firms for external financial audits;
- resolve disagreements between management and internal or external auditors;
- retain independent counsel, accountants or others to advise the Committee or assist in the conduct of an investigation.

The Internal Audit function, which is managed at the UA System level and governed by Board Rule 408, determines whether the System's risk management, control, and governance processes, as designed and represented by management, are adequate. The head of Internal Audit meets with the President and other Senior Officials (i.e., Vice President for Financial Affairs and Administration, University Chief Financial Officer, etc.) to review the yearly audit plan. The President and other Senior Officials provide feedback and suggested additions based on any specific concerns or interests they are aware of. This feedback is incorporated by Internal Audit into the audit plan as deemed appropriate.

At the campus level, UAB's University Compliance Office supports UAB management's compliance efforts by:

- enhancing coordination, consistency, efficiency, and effectiveness by providing an institutional perspective of the University’s specific compliance assurance activities;
- reducing risks of non-compliance, as well as potential penalties, by meeting the Federal Sentencing Guidelines' criteria for an effective compliance program;
- providing continuous management advisory services and support regarding compliance assurance activities, using a risk-based approach;
- providing a consolidated resource for compliance information and guidance for the UAB community;
- conducting compliance reviews and recommending plans for improving internal controls, like policies, procedures, processes, or actions;
- supporting the UAB Ethics Hotline for the reporting of ethical concerns.

The University Compliance Office reports to the President of UAB as shown in the UAB Organization Chart.

Finally, the Board has established specific guidelines relating to the policies, practices, and associated responsibilities for the planning and management of capital assets. Board Rule 415 states that each campus shall develop a Campus Master Plan and have a Campus Master Planning Committee that is responsible for reviewing and recommending approval to the President of the University all additions and changes to the physical facilities of the campus. Finally, Board Rule 415 states that the management of campus facilities including the administration, operation, maintenance, and repair of existing facilities is the responsibility of the President of the University.

Sources (In Order of Appearance)

[PDF] UAB Organizational Chart
[PDF] Financial Affairs Org Chart
[PDF] Job Descriptions for Key Financial Management Personnel
[PDF] Cash Handling Policies
[PDF] Expenditure Review Services
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 107)
[PDF] Endowment Procedures
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 135)
[PDF] Moody's Bond Rating Letter
[PDF] S&P Bond Rating Letter
[PDF] 2010 A-133
[PDF] 2011 A-133
[PDF] 2012 A-133
[PDF] 2013 A-133
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 123)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 127)
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 165)
Financial Resources: Control of sponsored research/external funds

The institution maintains financial control over externally funded or sponsored research and programs.

**Judgment**

- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

**Narrative**

Financial control over sponsored research and programs is the responsibility of the Vice President for Research and Economic Development (VPRED) and the Vice President for Financial Affairs and Administration (VPFAA). Both Vice Presidents report to the President as shown in the UAB Organizational Chart (effective 1-Sep-2014). The VPRED is responsible for pre-award financial control, and the VPFAA is responsible for the post-award financial control. The resumes for the current VPFAA, incoming VPFAA, and VPRED demonstrate that their qualifications and experience are appropriate for these roles.

The Office of Sponsored Programs (OSP; internet access required) reports to the VPRED, as shown in the Organizational Chart for the Office of the VPRED, and is responsible for pre-award administration of sponsored programs. OSP provides support and oversight on issues of budgeting, re-budgeting, cost sharing, indirect cost calculations, subcontracts, and other issues related to the submission of proposals for extramural funding. Applications for external support of research or programs must be routed for internal approval at several levels within UAB before a faculty member is permitted to submit the proposal to a potential sponsor. An extramural checklist accompanies the proposal and verifies the appropriate internal reviews have taken place. While financial information may be reviewed at several levels, the OSP represents the final level of review where budgets, subcontracts, and indirect cost calculations are scrutinized and corrected, if necessary, prior to submission.

Post-award administration is managed by Grants and Contracts Accounting (GCA; internet access required), a unit reporting to the VPFAA. GCA manages the post-award accounting, compliance, and reporting for UAB's sponsored grants and contracts. In May 2014, Financial Affairs began a restructuring project to merge GCA and General Accounting into a combined unit known as Financial Accounting Services (shown in the OVPFAA organizational chart); the reorganization process is still underway.

Grants and Contracts Accounting, General Accounting, and Expenditure Review Services were combined into Financial Accounting and Review Services to provide more consistency in how transactions were handled, such as in the areas of:

- Petty cash funds
- Event approvals
- Debit cards
- Travel and other expenditure reimbursement

Also, the combination of the two allows UAB to better utilize functional technical staff to provide monitoring reports for the accountants and management.

In FY2013, the A-133 audit recorded over $467 million in expenditures of federal awards. The audit found "no material weaknesses" in financial reporting or internal controls. There was no management letter issued in FY2013. There was one finding regarding return of Title IV funds. The University's leadership has addressed this issue by implementing, in May 2013, a procedural change whereby all Return of Title IV refunds are calculated in Banner. In addition, in May 2013, the institution’s IT department changed the scheduled run time of the report of student withdrawals to prevent the exclusions of any student withdrawals in the future.

Policies governing the expenditures of external funds, such as the Direct Costs Policy and Federally Titled Property Policy are published on the Financial Affairs website (link to current policies and guidelines requires internet access) and in the UAB Policies and Procedures Library, a repository of all current university-wide policies and associated procedures.

**Sources (In Order of Appearance)**

- [PDF] UAB Organizational Chart
- [PDF] CV - Richard L Margison
- [PDF] CV - G. Allen Bolton, Jr
- [PDF] CV - Dr. Richard B. Marchase
- [URL] UAB Office of Sponsored Programs
- [PDF] OVPRED Organizational Chart
- [PDF] Sponsored Programs - Extramural Checklist
- [URL] Grants and Contracts Accounting
- [PDF] OVPFAA Organizational Chart
- [PDF] 2013 A-133
- [PDF] Direct Costs Policy
Physical Resources: Control of physical resources
The institution exercises appropriate control over all its physical resources.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Physical Inventory and Asset Disposal
UAB exercises appropriate control over its physical resources utilizing a combination of policies, software applications, physical monitoring of assets, and reconciliations to UAB’s general ledger system, Oracle. The Board of Trustees of the University of Alabama (the Board) establishes rules related to Planning and Management of Facilities and Other Capital Assets via Board Rule 415.

UAB manages property, plant, and equipment assets through the departments of Cost and Space Analysis and Equipment Accounting, both of which report to the Chief Financial Officer. These departments are charged with ensuring the institution complies with all applicable state, federal, and University rules, regulations, and procedures.

Inventoried equipment records and the associated depreciation are maintained using Sunflower software programming. In accordance with the Equipment Accountability Policy, Equipment Accounting performs physical inventory for each capital equipment item on a bi-annual basis. The physical inventory is performed by Equipment Accounting staff scanning inventory bar codes on pieces of equipment as they walk room by room throughout the institution. The process identifies capital equipment and its current physical location as shown on the sample Property Inventory Report. The information from these scans is uploaded to Sunflower for comparison to recorded inventoried equipment items. In addition, Equipment Accounting performs monthly reconciliations (sample) to Oracle.

Land and Land Improvements, Building and Building Improvements, Fixed Equipment Systems, and Libraries are accounted for and reconciled by Cost and Space Analysis. These plant assets are reconciled to Oracle on a monthly basis as shown in the sample Plant Reconciliation.

UAB utilizes Insight software programming to maintain floor plans of both owned and leased space. Annual space utilization surveys (sample) are performed by Cost and Space Analysis. The space surveys are completed by the individual departments occupying the space.

Disposition of property, plant, and equipment assets are processed in accordance with Board Rule 415, Code of Alabama 1975 Title 41 Chapter 16 Article 120, the Equipment Disposition procedure, and the Transfer of Ownership of UAB Property Policy. Cost and Space Analysis and Equipment Accounting are responsible for accounting for the dispositions of property plant and equipment. Records relating to disposition of property, plant, and equipment are maintained in accordance with the Finance Record Retention Schedule of UAB’s Record Retention Policy.

Managing Risk Relating to Physical Resources
The Facilities Division manages risks related to physical resources in a number of ways:

- Routine inspection of sidewalks, walkways, parking lots, and all structures;
- Testing utility systems in accordance with local, state, national codes, standards, and guidelines;
- Load testing emergency generators, fire alarm systems, and monthly fire extinguisher inspection;
- Monitoring building automation systems through the use of a central monitoring system that is overseen 24/7 by trained maintenance staff;
- Maintaining sufficient warehouse inventory to ensure Maintenance has the materials on hand to make repairs quickly to minimize the impact on students, faculty, and staff;
- Construction activity inspections including interim Life Safety Measures and Fire Wall Penetration Permits; maintenance utility shutdown requests are used to ensure that the life safety systems within the campus buildings are functioning correctly or proper interim measures are in place and followed.

Further, beginning in 1987, a formal program was developed to identify and measure deferred maintenance. As required by Board Rule 415, UAB is required to present an annual Facilities Renewal Plan on deferred maintenance/facilities renewal liabilities and building operations and maintenance costs.

Plans are developed annually to reduce deferred maintenance from the assessments provided by internal operations and maintenance staff. UAB measures success by benchmarking the University against other peer institutions through the facilities analysis conducted by Sightlines, LLC. The deferred maintenance list is reviewed and updated annually, and a Facilities Renewal Plan is submitted to the Board. This report enables UAB to strategize and plan so monies allocated for deferred maintenance are spent in an optimal fashion.

The University’s Occupational Health and Safety Department (internet access required) assists in the life safety inspection of occupied campus buildings to ensure that all safety features are in compliance with all codes, standards, and guidelines and are fully functional. Also, facilities standards are utilized to ensure that projects planned, designed, and constructed meet the minimum standards acceptable by the University.
The Occupational Health and Safety Construction Safety Program is designed to assist contract forces in maintaining compliance with local, state, and federal regulations associated with all construction projects at UAB, including:

- Compliance and issuing UAB permits for Fire/Smoke Wall Penetrations;
- Inspection of construction sites and ensuring maintenance of UAB Interim Life Safety Measures during all phases of construction;
- Compliance and issuing Cutting/Welding Permits;
- Inspection of Hospital sites for compliance with Joint Commission regulations for Infection Control Risk Assessments.

Finally, while not responsible for loss prevention, the Office of Risk Management serves in an advisory role assisting the University in identifying exposures to property and liability losses, analyzing the exposures and determining how to prevent and/or control losses where possible, as well as how to finance those losses that cannot be prevented. Additionally, the Office of Risk Management coordinates the placement of insurance and communicates any safety and loss control recommendations made by UAB’s insurance company to the appropriate department.

Sources (In Order of Appearance)

- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 165)
- [PDF] Equipment Accountability Policy
- [PDF] Property Inventory Report
- [PDF] Monthly Reconciliation Sample
- [PDF] Plant Reconciliation
- [PDF] Space Utilization Survey Sample
- [PDF] The Board of Trustees of the University of Alabama Board Manual (Page 180)
- [PDF] Code of Alabama 1975 Title 41 Chapter 16 Article 120
- [PDF] Disposition of Equipment
- [PDF] Transfer of Ownership of UAB Property
- [PDF] Records Retention Schedule (Page 9)
- [PDF] Records Retention Policy
- [PDF] Routine Inspection Hospital Sidewalks and Parking Decks Sample
- [PDF] Utility System Monitoring
- [PDF] Fire Alarm Test
- [PDF] Fire Extinguisher Inspection
- [PDF] Building Automation System Sample
- [PDF] OH&S ILSM Audit Report
- [PDF] OH&S Project Placards
- [PDF] 2013 Facilities Renewal Plan
- [PDF] Sightlines FY 11 UAB Final Presentation
- [URL] Occupational Health & Safety
- [PDF] Life Safety Inspection Sample
- [PDF] Facilities - Standards On-Line
- [PDF] Office of Risk Management
Physical Resources: Institutional environment

The institution takes reasonable steps to provide a healthy, safe, and secure environment for all members of the campus community.

Judgment

☑ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The institution publishes and enforces policies and procedures that address multiple aspects of safety designed to promote a healthy, safe, and secure environment.

Policies and procedures that address safety are published in:

- You and UAB Handbook
- Direction, the UAB Student Handbook
- UAB Residence Life Handbook
- Occupational Health and Safety (OH&S) Manuals and Plans (internet access required)

UAB enforces many policies that promote a healthy, safe, and secure environment, such as:

- Immunization Policy
- Drug-free Campus Policies (Workplace; Students)
- Nonsmoking Policy
- Dangerous Weapons and Firearms Policy
- Safety Inspections Policy
- OH&S Policy for Termination of Laboratory Use of Hazardous Materials

Units such as the UAB Occupational Health & Safety, Parking and Transportation Services, Physical Security, and the UAB Police Department have programs in place to promote a healthy, safe, and secure environment. As part of the overall safety program, the Facilities Division also conducts monthly safety inspections of fire extinguishers and smoke detectors, sidewalks, walkways, parking lots, and all structures.

The UAB Department of Occupational Health and Safety

The OH&S (internet access required) is responsible for providing a safe and healthy workplace for the campus community. The mission of the OH&S is to ensure that faculty, staff, students, patients, and visitors have a safe workplace by providing them with the service and knowledge necessary to protect themselves, the UAB community, and the environment.

The Department of Occupational Health and Safety was established in 1979 with the specific charge of ensuring that UAB comply with occupational and environmental health and safety rules and regulations necessary to conduct research involving hazardous materials. The program has expanded significantly since inception and now encompasses a variety of program areas.

Asbestos Safety

The Asbestos Safety Program is responsible for surveying the campus to determine the presence of asbestos and asbestos-containing materials. The staff is responsible for training maintenance employees and contractors on proper procedures for working with and around asbestos containing materials. Staff sample areas prior to construction or renovation to determine the presence of asbestos, as well as conduct air samples to ensure areas are safe for normal use. The Program directs the proper disposal of contaminated materials and is the liaison to county and state agencies.

Biosafety

The Biosafety Program involves issues such as determining the proper biosafety level with which to perform research, making sure facilities and practices are in accordance with local, state, and federal requirements, and consulting with investigators working with biological materials to make labs a safer place to conduct research.

Campus Safety

The Campus Safety Program is designed to help prevent loss of life and injury to UAB faculty, staff, students, and visitors and to prevent the loss of UAB facilities and property. The Program reviews new construction and renovation plans and conducts fire and life safety inspections of all campus structures.

Chemical Safety

The Chemical Safety Program works with faculty and staff to make sure the use of hazardous chemicals is in compliance with local, state, and federal requirements. The chemical safety staff consults with those working with hazardous chemicals to ensure that controls are in place to protect personnel and property. The institutional controlled substances program and chemical inventory systems are managed through chemical safety. Chemical safety staff work closely with other OH&S programs such as environmental management, emergency response, and the support facility to mitigate chemical hazards in the case of spills or releases.

Construction Safety
The University of Alabama at Birmingham

The OH&S Construction Safety Program is designed to assist contract forces in maintaining compliance with local, state, and federal regulations associated with all construction projects at UAB, including:

- Compliance and issuing UAB permits for Fire/Smoke Wall Penetrations;
- Inspection of construction sites and ensuring maintenance of UAB Interim Life Safety Measures during all phases of construction;
- Compliance and issuing Cutting/Welding Permits;
- Inspection of Hospital sites for compliance with Joint Commission regulations for Infection Control Risk Assessments.

Controlled Substances

The Controlled Substances Program currently maintains federal Drug Enforcement Administration registrations governing the use of controlled substances for teaching purposes, veterinary care, and all non-human research.

Employee Health

The OH&S Employee Health Program is designed to focus on anticipating, recognizing, evaluating, and controlling potential health and safety hazards and environmental factors that may affect the health, comfort, or productivity of the entire research campus community. The program accomplishes these goals through risk assessment, risk management, risk education, and preventive medicine. Medical surveillance is a critical component of effective occupational health programs and involves the evaluation of health risks associated with an individual's exposure to animals and hazardous agents.

Environmental Management

Environmental Management is responsible for all UAB activities that have environmental impacts, including day-to-day regulatory compliance and permitting related to hazardous waste management, air emissions, and waste water discharges. The Program also coordinates environmental site assessments on prospective UAB property acquisitions. The Program seeks to develop and implement programs that ensure UAB's compliance with state, federal, and county environmental requirements and to maintain the University's commitment to good environmental stewardship through participation in the UAB Sustainability Program.

Hospital Safety

Efforts to promote a culture of safety require persistence and involvement from all areas. No one person or hospital department is exempt due to the complexity of processes and the ever-present interdependencies in the provision and environment of patient care. Hospital Safety champions continuous quality improvements in safety via reliable multidisciplinary team interaction benefiting patients, visitors, and staff.

Radiation Safety

The Radiation Safety Program (RSP) manages the use of radioactive isotopes and radiation-producing machines on the UAB campus. The RSP performs a licensing review of all applications for the use of radioactive materials and ascertains whether or not applicants have adequate facilities and equipment for storing and using radioactive materials and adequate training and experience for themselves and for personnel using radioactive materials under their supervision.

Research Safety

Research Safety provides integrated audit services to the campus, hospital clinical labs, and University clinical labs in order to be in compliance with federal, state, local, and UAB guidelines and regulations. The unit provides consultation with respect to research health and safety issues to existing and new Principal Investigators, lab administrators, lab employees, post-doctoral students, graduate students, and undergraduate students. It also provides health and safety assistance/consultation with lab start-up practices/procedures and training requirements to new UAB labs. In addition, Research Safety provides existing labs that are relocating within UAB with information on lab close-out procedures and assistance in setting up with their new lab location.

Committees

Further, the Department of Occupational Health and Safety oversees several committees that develop UAB policies designed to provide a safe and healthy workplace:

- Radioisotope and Radiation Safety Committee
- Institutional Biosafety Committee
- Chemical Safety and Environmental Management Committee
- University Safety Committee

Membership of these committees is composed of UAB researchers and faculty, UAB administrators, and staff from the UAB Department of Occupational Health and Safety. UAB policies approved by these committees are set forth in the form of safety manuals that represent a summation of regulatory requirements and agreement as to how these activities will be conducted at UAB. All safety manuals (internet access required) are endorsed by the President and, in many cases, are part of the licensing applications and agreements with the many regulatory agencies with which the University must interact.

Emergency Management

The Office of Emergency Management (internet access required) applies preparedness, mitigation, response, and recovery planning, based on the National Incident Management System, to events that impact the UAB community. Emphasis is placed on identification of potential vulnerabilities so that plans can be designed to minimize the impact on the population and institution. Using a vulnerability assessment, resources and efforts are focused toward those events which have a higher probability of occurring and could impact critical infrastructure or cause injury.

UAB's primary concern during any emergency situation is the safety of its students, faculty, and staff. UAB's Office of Emergency Management coordinates emergency preparedness and response to critical incidents that occur or impact the campus community. UAB takes a comprehensive approach to preparedness that involves many departments and individuals that work together to ensure the institution is prepared to respond to emergencies.
The Office of Emergency Management coordinates and/or conducts live disaster training as well as tabletop drills and full scale exercises each year.

- Annual emergency drill - for 2013, the drill was based upon an active shooter scenario. Plans for the 2014 drill are underway.
- Fire drills and fire alarm tests are conducted in each campus facility on an annual basis. Dorm occupants are required to participate in two fire drill activities each year.
- UAB’s severe weather plans are tested annually in both tabletop and live situations, particularly during spring and fall tornado seasons. Each event is assessed for opportunities for improvement.

Effective plans and communication are critical components to any emergency management program. Decision-makers, key players, and the UAB population as a whole must have a thorough working knowledge of their roles and responsibilities during an emergency, as outlined in the Emergency Management Communication Process. UAB has established safety plans that cover the decision-making process, communications process, as well as the reaction activities required at the building and personal level. These plans are outlined in the University of Alabama at Birmingham Emergency Operations Plan and in the disaster plans developed for each campus facility. The UAB Administration Building Disaster Plan has been provided as an example.

The B-Alert communication system allows UAB’s Administration to communicate quickly and efficiently with all faculty, staff, and students by e-mail, text, telephone, and social media.

Several key employees on the Emergency Management staff are primary participants in planning and disaster preparation activities engaged in by the local emergency management agencies, as well as the local branch of the National Weather Service. UAB’s population density, as well as its 24 hour student, research, and healthcare operations, require its active participation in any discussion regarding local or regional disasters.

Finally, UAB has constructed an Emergency Operations Center (EOC), which is the campus command center for communication and coordination during emergency situations. Located in an underground, generator-served location, this facility includes a video wall with systems that access campus street and facility cameras, local and national news sources, and storm/weather prediction services. At the present time, the Office of Emergency Management is working with key personnel across campus to establish satellite communications centers using video conference and telephone conference capabilities. The first of such centers has been established in the Office of the Vice President for Financial Affairs and Administration in the Administration Building and was successfully tested in advance of the April 29, 2014, severe weather event. This test allowed Emergency Management personnel to remain at the EOC and monitor critical information systems while engaged in a video meeting with the decision-makers and key personnel located blocks away. Work is underway to add this capability to the Office of the President, the UAB Police Department, and the UAB Hospital.

**UAB Parking and Transportation Services**

Programs that improve the safety of the UAB campus that are provided by UAB Parking and Transportation Services include the UAB Blazer Express Transit System and the Motorist Assistance Roadside Service.

The UAB Blazer Express Transit System is a bus system that provides safe, convenient, on-campus transportation for all UAB faculty, staff, and authorized visitors. All buses are ADA-accessible for those with special needs. Bus service is provided Monday – Friday from 5:30 a.m. – midnight. Late-night, on-demand van service is available Monday – Saturday from 12:00 a.m. through 5:30 a.m.

The Motorist Assistance Roadside Service (internet access required) is a service to assist UAB visitors, students, and employees experiencing minor car trouble while on the UAB campus and is available weekdays from 7:30 a.m. to 10:00 p.m. free of charge. Typical services include tire changing/inflation, vehicle jump-start, out-of-gas service, etc. This service is critical to the overall safety program of the campus in that it reduces the opportunity for stranded motorists to become victims of crime or street accidents.

**UAB Physical Security**

UAB Physical Security (internet access required) provides cardkey access systems, alarms systems, camera (CCTV) systems, and locksmith services to enhance security for the campus and hospital. Since 1984, the unit has installed and maintains over 2,200 card readers and 4,000 alarm points. The Department has also installed over 3,500 security cameras, which it continues to service and maintain. The Department is also responsible for cutting, issuing, and tracking building keys and installing lock cylinders for all campus buildings.

UAB has recently completed an 18-month project to consolidate to one identification card for all faculty, staff, and students. The implementation of the One Card (internet access required) program strengthened the safety and security of the UAB campus on multiple levels. This upgrade moved all identification cards to a single unified identity management system as opposed to the multiple systems that were previously used throughout UAB and its surrounding entities. This unified identity management system also aided in reducing the percentage of IDs containing incorrect information. Physical access control is now managed by a single enterprise card access system which allows all badged individuals to be tracked. The implementation also resulted in a unified badge appearance making it easy to identify UAB employees.

**The UAB Police Department**

The UAB Police Department (internet access required) is accredited by the Commission on Accreditation for Law Enforcement Agencies (CALEA) and is the third largest of 69 accredited university and college police departments in the United States. The department is responsible for the safety and security of over 18,500 students, 23,000 faculty and staff, and thousands of patients and campus visitors each day. The department’s jurisdiction consists of nearly thirteen million square feet of occupied space designated for research, hospital, or education on a campus that occupies over ninety city blocks.

The UAB Police Department has 187 members, of which 105 are fully sworn. These officers enforce city ordinances and state law both on campus and in areas immediately adjacent to the campus under the auspices of a dual commission granted by UAB and the City of...
A strong Crime Prevention Program (internet access required), developed and constantly evaluated by a dedicated crime prevention specialist, is responsible for many campus activities and programs including: UAB Campus Watch, an organized group of UAB employees who interact with the community to encourage open communication.

The UAB Police Department has sought community input which resulted in the formation of the Police Advisory Council to voice the needs of the University community. During January 1999, 20 UAB students, faculty, and staff were asked to participate in an initial dialogue with the UAB Police Department for assistance in an emergency by simply lifting the receiver or pushing the red button which rings directly to the communications dispatch center. The location of the emergency phone used will appear on the phone screen, and the dispatcher will immediately send an officer to the location of the caller to render assistance.

A project presently under development to improve communications is the addition of a video wall which will integrate the University’s closed circuit television cameras (CCTV); burglary, baby, panic, radiation, and fire alarms; floor plans of campus buildings; and a campus map to capture “real time” data and continuously monitor these critical systems within the communications dispatch center. This vital project will assist the UAB Police Department in preventing and deterring crime from occurring on campus and assist in identifying and apprehending any perpetrator as quickly as possible.

Further, there are over 450 emergency “blue-light” help phones strategically located throughout the campus (e.g., inside elevators, outside on the campus grounds, attached to or near buildings, etc.). These help phones can be used by anyone on campus to alert the UAB Police Department for assistance in an emergency by simply lifting the receiver or pushing the red button which rings directly to the communications dispatch center. The location of the emergency phone used will appear on the phone screen, and the dispatcher will immediately send an officer to the location of the caller to render assistance.

The Uniformed Patrol Operations Division serves as the backbone of the department. It includes patrol officers, hospital police, student housing precinct officers, and the Special Operations Unit. Patrol officers in vehicles and on bicycles, motorcycles, and human transports are responsible for patrolling the entire campus including the hospital exterior properties. These officers answer emergency and service calls as required. The hospital police concentrate their efforts in the hospital environment on foot and on Segways. The Student Housing Police Precinct, established in October of 1998, is designed to increase interaction among students, housing staff, and police; to reduce the potential for incidents in the housing areas; and to prevent disruption by criminal opportunists or individuals displaying unacceptable behavior in campus residential areas.

The Special Operations Unit officers specialize in traffic enforcement and bicycle, foot, and motorcycle patrol in high-density student areas, faculty and staff office areas, hospital exterior areas, and student high-rise housing complexes. The unit provides high-profile mountain bike patrols on all shifts and serves as the focal point of police mountain bike training throughout the southeastern United States. The unit also provides primary support for traffic enforcement on campus with state-of-the-art speed monitoring devices.

The Security Services Unit is a support service of the UAB Police. These unarmed officers are non-sworn personnel who assist students, faculty, staff, patients, and visitors with basic first-responder security needs. Their responsibilities include monitoring the parking decks, providing parking lot security, giving directions, assisting with traffic control, providing road service assistance, and assisting with other emergencies as required.

The Criminal Investigations Division responds to all reports of crime on campus, whether they are initially written by officers, called in on the crime tips line, or brought to the attention of the department through other means. A captain supervises five criminal investigators, one of whom is specifically assigned to the medical center area. The unit monitors crime trends in the state, city, and county that may impact the UAB community and, as a result, is often able to minimize criminal activity and reduce crime on campus. Each member of the unit attends professional training schools and seminars on the latest crime prevention techniques. The unit works personally with victims and witnesses, recovers property, makes arrests, and obtains convictions in the Criminal Justice System.

The police department’s administrative support personnel assist with statistical crime reporting (internet access required), data analysis, information integration, communications, crime prevention, and physical security, all of which are vital for patrol operation effectiveness. All UAB community criminal statistics are compiled, analyzed, and filed by the department’s Records and Property Manager. Daily, weekly, monthly, and annual reports are published according to standards and requirements set by the Uniform Crime Reporting System, the State of Alabama, and the Campus Crime Reporting Act of 1990. Department criminal statistics are regularly published in the faculty/staff newspaper and the student newspaper. Monthly crime statistics are sent to the President, Provost Deans and Vice Presidents on campus and, since January 1990, have been posted monthly in the UAB Police Department Criminal Statistics Notebooks located at the front desks of the Mervyn H. Sterne and Lister Hill Libraries.

The Uniformed Patrol Operations Division and the Criminal Investigations Division detect hot spots or patterns of crime development on campus or in the hospital by analyzing crime statistics. Once patterns are detected, efforts are made to eliminate the activity and discourage repeat offenses. The reactive approach to policing has been replaced by a proactive, community-based approach. In response, the UAB Police Department initiated a Community Policing Program designed to integrate crime prevention and problem resolution with community involvement. The community is involved in an unprecedented manner to confront all police issues. Uniformed officers interact with the community to encourage open communication.

The UAB Police Department has sought community input which resulted in the formation of the Police Advisory Council to voice the needs of the University community. During January 1999, 20 UAB students, faculty, and staff were asked to participate in an initial Police Advisory Council meeting and develop its purpose and mission. The council’s purpose is (1) to provide the department and the UAB community a source of objective information, (2) to act as a platform for requests for service, performance, and the accomplishment of goals, and (3) to serve as a tool in exploring, planning, developing, instituting, and evaluating change to assure the tenets of community policing are effectively utilized. The Police Advisory Council meets quarterly and representative minutes of meetings can be reviewed here.
and students devoted to crime prevention; monthly Rape Aggression Defense Classes open to all UAB students, faculty, staff, and the general public; employee and student orientation presentations; Crime Prevention Tips displays with pamphlets on campus and in the hospital; Operation ID, which is the student private property engraving service; Community Policing Patrols by motorcycle, bike, vehicle, human transporter, Segway, and foot; safety presentations for the entire campus including the medical center on topics such as domestic violence, date rape, personal safety, bike safety, con artists awareness, violence in the workplace, and cashier conference.

Further, the Department participates in the nighttime safety audit, which is conducted annually each Fall Semester. The safety audit is coordinated by the Assistant Vice President for Student Life and other participants including the Student Government Association and Facilities Management. The purpose of the nighttime safety audit is to identify where lights are out, to ensure that the "blue-light" help phones are working properly, and to determine if any shrubbery or other greenery should be pruned to increase visibility. The resulting report includes recommendations by the audit participants and is forwarded to the President’s office.

The UAB Police Department is an organization which requires the sum of all its parts to accomplish its mission, especially in the complex urban environment found at UAB. The department is people-oriented with professional individuals working as a team to meet each challenge with the expectation of demonstrated excellence.

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Physical Resources: Physical facilities

The institution operates and maintains physical facilities, both on and off campus, that appropriately serve the needs of the institution’s educational programs, support services, and other mission-related activities.

Judgment
- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

Narrative

Master Planning

UAB, as part of the University of Alabama System, is subject to Rule 415 of the Board of Trustees of the University of Alabama which specifically provides for: (a) campus master planning, (b) systematic planning for capital projects, purchase of equipment, and real property acquisition/disposition, (c) the establishment of an orderly process for the accomplishment of major capital projects, (d) the selection and appointment of architects and engineers, and (e) the delegation of responsibility for the management of existing capital assets.

Since 1982, UAB has submitted an original master plan and five updates to the original. The University periodically prepares a new Campus Master Plan, with the latest completed in 2000 an amendment issued in 2012. The master plan includes a review of current and future educational program needs and addresses growing programs that will require additional physical facilities through expansion, renovation, or facility addition. The plan also reviews the support services required for the programs and addresses each of the services. In addition, the master plan addresses the mission-related activities as they relate to the next five years in terms of continued growth and development. Starting with the 2000 Master Plan Update, UAB included Potential Future Development, a long-range planning outlook to accommodate campus growth and development beyond the five-year planning period.

Pursuant to Board Rule 415, each campus of the University of Alabama System is required to have an active Campus Planning Committee (CPC) to guide the physical growth and development of the campus. The role of the UAB CPC is to be involved in the master planning process in order to ensure the implementation of the campus master plan concept, goals, and objectives. The 1982 UAB Master Plan and subsequent updates serve as the Committee's framework from which reviews and recommendations are made. The CPC is expected to assume a proactive role performing the following functions:

1. Review and approve amendments (updates) to the Master Plan;
2. Review annually the Facilities Development Plan, the Annual Capital Development Plan and State Capital Appropriations Request;
3. Conduct regularly scheduled reviews of campus planning, design, acquisitions, and construction activities including new campus landscape and open space projects, road or alley closings and openings, implementation of design guidelines, requests for land acquisitions/dispositions, design and construction of proposed new buildings and major renovations;
4. Discuss current and upcoming campus improvement projects;
5. Establish a schedule and priorities for completing improvements in the Master Plan;
6. Establish and adopt procedures for incorporating recommendations from the Master Plan into UAB's financial planning and budgeting process;
7. Review projects with significant visual impact, including buildings, site improvements, and from time to time, campus outdoor sculpture initiatives.

Finally, the CPC establishes and adopts procedures for conducting its activities as well as orienting staff and design professionals. It is critical that the CPC be allowed to take a strong role in the master planning system in order to reach the goals set forth by the Board of Trustees and the UAB Master Plan. The Campus Planning Committee is chaired by the Vice President of Financial Affairs and Administration and supported by the Office of Campus Planning. It is made up of a cross-section of individuals representing major operational branches of the University including the President, Provost and Vice Presidents, major division department heads, operation-level facility professionals, faculty representatives, and Legal Counsel. Ex-officio members and regular guests include Deans, student representatives, Emeritus Presidents of UAB, a representative from the Office of the Chancellor, as well as representatives of other local healthcare facilities including the Veterans Affairs Medical Center and Children’s of Alabama (sample Agenda, Minutes and Trustees Report).

Technological Infrastructure

UAB provides an extensive network infrastructure (internet access required) that supports all aspects of the institution’s mission. This network (internet access required) covers ninety city blocks and over 130 buildings enabling high speed communication among faculty, staff, and students, no matter the nature of the interaction. The network backbone is a collapsed 10-Gigabit backbone routing TCP/IP protocols using Gigabit Ethernet links over single mode optical fiber.

Annual campus network refresh projects ensure every campus building and all classrooms maintain reliable high-speed campus networks. UAB Campus-IT provides 802.11 wireless LAN (WiFi) network ubiquitously across all classroom and research buildings. Depending on the student's device, the data rate varies from 10Mbps-40Mbps. The UAB WiFi network requires user authentication and is encrypted.

Within buildings, Category 5 and 6, or higher unshielded twisted pair wiring connects desktops to the network. A Gigabit Ethernet building backbone over multimode optical fiber is used for multi-floor buildings. Computer server clusters are connected to the building entrance using Gigabit Ethernet. Each floor contains one or more switches connected to the building backbone using Gigabit Ethernet.
The University of Alabama at Birmingham

Wired connections to the desktop are at 100 Mb/s in 90% of the facilities, with 100% planned for 2014.

All of the UAB residential facilities have full campus network access through ResNet. Each resident is allocated an individual 100M Network jacks. UABWIfi is also available throughout the residence halls. Beginning in fall 2014, Apogee will begin servicing the Wi-Fi services within all of the residence halls. All five residential halls have 24-hour access to computer labs with full campus network and computer capabilities. Students also have access to the campus-wide network in the school and departmental computer labs as well as in both libraries.

The University provides 2.5Gbps of Internet and Internet2 Bandwidth capacity to the campus. The traffic is monitored at all times for intrusion prevention, and congestion. A backup link of equivalent capacity is available in the event the primary link is disrupted.

The Provost’s Office maintains a core group of multimedia classrooms available to all faculty. To supplement these core facilities, additional classrooms are supported and maintained by the following academic and administrative units on campus:

• The Sterne Library maintains three classrooms that are open for scheduling by all faculty and staff.
• The School of Business and Public Health maintain technology installed in specific classrooms (computers, printers, and digital video projectors).
• The Schools of Dentistry, Medicine, and Optometry maintain their own group of multimedia classrooms through their shared Basic Sciences Learning Resource Center. This center also distributes portable multimedia equipment throughout these schools’ smaller classrooms.
• The School of Health Professions (SHP) the School of Nursing (SON), and Lister Hill Library (LHL) jointly maintain four large multimedia classrooms through their shared Learning Resource Center (LRC) and LHL. Their LRC also distributes portable multimedia equipment throughout the SHRP and SON classrooms for use in smaller classrooms. The LRC also maintains state of the art clinical practice laboratories. This center also provides the following support services:
  • Non-technical computer user support for faculty, staff, and students
  • Facilities and classroom scheduling
  • Classroom equipment set-up and support
  • User education and training
  • Operational support for distance learning and video teleconferencing
• Finally, the LRC contains areas supporting a variety of teaching and learning activities. There are carrels equipped for student viewing of videos, classrooms and small group meeting rooms, a computer center, electronic training rooms, clinical skills labs, and technologically advanced, video-based, distance learning facilities.
• The School of Public Health maintains its own classrooms and computer labs through its Office of Student and Academic Services.
• The College of Arts and Sciences (CAS) also manages computers in various classrooms and labs. Where applicable, specialized software is installed for the department. This may include the Adobe Creative Suite of applications, MatLab, Microsoft Office, GarageBand, SPSS, Final Cut Pro X, and Digital Performer to name a few.

The Center for Teaching and Learning (internet access required) is open to all faculty and is focused on supporting excellence in teaching that promotes learning through a commitment to pedagogical best practices, appropriate and effective use of technology and innovative collaboration. Physical space is available to support classroom based training to both small and large groups and a technology equipped distance learning classroom.

All centrally-scheduled classrooms meet UAB minimum standards for technology, which include:

• A central teaching lectern equipped to allow faculty to control all technology from one point in the room
• A desktop computer with full network/internet access
• A DVD/VCR
• A ceiling mounted projector and motorized projection screen controlled centrally from the lectern or a large LCD panel
• A digital document camera
• Enhanced audio and speakers
• Inputs and power to connect a laptop computer
• Support of UAB’s standard ‘clicker’ response system
• Support of Blackboard Collaborate - UAB’s standard classroom presentation/archive (audio/content) system.

Classrooms may have additional technology, based on needs of the individual school/college, including interactive white-boards, touch-screen LCD panels, and multi-projector/screen setup.

Routine and Preventative Maintenance

The Facilities Management Department in the Facilities Division provides overall administrative and management services in the following areas: Campus Maintenance, Hospital Maintenance, Elevator Maintenance, Support Services, Utilities Management, Facilities Information Services, and the University Recycling Program. These departments are responsible for routine and preventative maintenance at the University.

The Campus and Hospital Maintenance Departments are responsible for routine operation and maintenance of lighting, plumbing, electrical distribution, air conditioning/heating systems, and finishes of campus and hospital buildings. The departments have an extensive equipment preventive maintenance system which provides a weekly summary of outstanding equipment preventive maintenance tasks. See sample system documentation for a Fire Pump Test, Fire Alarm Test, Building Environment Monitoring Screen, and Systems Alarm Monitoring Screen. They also maintain or supervise the maintenance on over 230 elevators in the UAB Hospital and on Campus. The elevator maintenance personnel established a preventive maintenance program to notify when inspections or testing is needed. It also gives safety codes guidelines for the tests or inspections to be performed. Boiler Operators inspect boilers and boiler support equipment, install, test, calibrate and maintain steam and hot water boilers and their control systems, and devices to include combustion, water treatment and safety, which provide steam and/or hot water for building automated temperature control systems in the Campus and Hospital buildings. Maintenance personnel assist the HVAC mechanics in the field by fine tuning their
equipment (air-handling units) by replacing bearings, motors, fan wheels, and controls, thus giving the mechanics time to handle heating and cooling calls for customers.

Service requests are submitted through the Facilities website. Web Works (internet access required), a computerized maintenance system, allows work orders to be entered to process repairs. This system tracks when the requests were submitted and completed and is used to assign responsibility to the appropriate skill position.

**Deferred Maintenance**

Beginning in 1987, a formal program began to identify and measure deferred maintenance. As required by Board Rule 415, UAB is required to present an annual report to the Board of Trustees on deferred maintenance/facilities renewal liabilities and building operations and maintenance costs (O&M costs).

Plans are developed annually to reduce deferred maintenance from the assessments provided by internal operations and maintenance staff. UAB measures success by benchmarking the University against other peer institutions through a facilities analysis conducted by Sightlines LLC. The deferred maintenance list is reviewed and updated annually, and a report is submitted to the Board of Trustees. A Facilities Renewal Five-Year Plan enables UAB to strategize and plan so monies allocated for deferred maintenance are spent in an optimal fashion.

**Program Support and Other Mission-Related Activities**

UAB operates and maintains physical facilities that appropriately serve the needs of students, faculty, staff, programs, support services and other mission-related activities.

UAB’s gross square footage has more than doubled in the past 25 years from 6.4 million gsf to 15.4 million gsf as a result of steady increases in enrollment, research funding, and clinical operations, demonstrated in total revenue growth for the same period of time. In comparison with other Top Tier Research universities, and taken in context with its very young age as an institution, UAB fares well in regard to gross square footage related to total enrollment.

The UAB School of Medicine has just received an eight year accreditation from the Liaison Committee on Medical Education (LCME), which is the highest accreditation available to a medical school in the United States. While the basis of the accreditation covers a myriad of programmatic and operational aspects within a school of medicine, one of the five standards judged relates to institutional surroundings which include review of:

- Sufficiency of Buildings and Equipment
- Resources for Clinical Instruction
- Clinical Instructional Facilities/Information Resources
- Security, Student Safety and Disaster Preparedness
- Library Resources/Staff
- Information Technology Resources/Staff
- Study/Lounge/Storage Space/Call Room Sufficiency

UAB regularly engages in space evaluation activities to address the growth and development requirements of mission-related programs. Examples of recently completed projects include upgrades to research laboratories located in Wallace Tumor Institute (WTI), modernization of Bevill Biomedical Sciences Research Building (Bevill), the two-story addition to the School of Health Professions (classroom and office space), Visual Arts Gallery (classrooms and gallery space), and the fit-up of 5th Floor Heritage Hall (honor’s program classroom and lab space).

Wallace Tumor Institute was originally constructed to provide a comprehensive research facility at UAB. It was constructed in three phases between 1976 and 1991 and has recently undergone projects to completely renovate all six floors and portions of the basement with new interior partitions and finishes, laboratory casework, heating, ventilation and air conditioning systems, emergency power, and other support services to provide new state of the art facilities. In addition, UAB has added an advanced imaging facility that houses a cyclotron, two PET/CT scanners, a micro PET/CT and a full-body MRI system, making it one of the most advanced imaging facilities in the State.

These projects were implemented to greatly enhance the University’s research capacity in the fields of Radiology, Oncology, Hematology, Neurology, Neurobiology, Psychiatry and Cardiology. In addition, the renovated facility will help to insure that UAB will remain at the forefront of cancer discovery and treatment by assisting the Comprehensive Cancer Center to recruit additional investigators.

The recent project at Bevill Biomedical Sciences Research Building provides investigators with an up-to-date research facility that meets current research facility standards. The project reconfigured the building’s mechanical systems, replaced HVAC control systems, added two new air handling units, included select architectural renovations, and updated the architectural finishes and furnishings throughout. Bevill is one of the largest and most visible research buildings on the UAB Campus. Its location in the heart of the research district makes it one of the most desirable locations for investigators at UAB. Modernizing it and bringing it up to current research standards will aid UAB in its efforts to retain top investigators and recruit new investigators at the top of their disciplines, helping to maintain UAB’s standing as one of the top research institutions in the country.

**Academic Space**

Over the past several years, dozens of small to mid-size classrooms have been renovated and refurbished to include new furnishings, equipment (noted above), lighting when appropriate, and finishes such as paint and carpet. More recently, this effort has been focused on the larger classroom spaces to support growing academic programs and student life activities. Some of the current renovation projects include improvements to three large classroom spaces: Campbell Hall 405, Chemistry 101, and Education 230, which were examined in the UAB Large Classroom Utilization Study Report.
A feasibility study was recently completed for a renovation to Cudworth Auditorium which would provide another larger classroom space. The College of Arts and Sciences has completed a study to add classroom space through construction and/or renovation to existing buildings. Comparable studies are underway or will be conducted for the School of Nursing (addition to existing facility) and The Collat School of Business’ Center for Entrepreneurship and Commercialization.

Further, the institution reviews its utilization of existing classrooms. The net utilization rate for our classrooms is at 23%; the goal, according to national standards is 60% (Course and Room Scheduling Effectiveness and Classroom Utilization Outbrief).

Non-Academic Space

Through careful planning, the University is constantly upgrading current structures and adding new facilities to meet the ever-increasing demands of a growing student population and program expansions. Some of the most critical renovations, expansions, and new construction during the past five years include: Blazer Hall, a new freshman residence hall with 734 beds; student dining facilities; construction of Einstein Brothers Bagels, the World of Wings, and a new convenience store; expansion of the 9th Avenue Parking Deck; renovation of the first floor of Mervyn H. Sterne Library to add community space and a Starbucks coffee shop; and construction of the UAB Steam Plant. Many other significant projects are already in design or the construction phase as shown on the Major Projects List and Architecture & Engineering and Interior Design Project List.

In 2010, the main floor of Sterne Library was renovated to develop space for students to gather and study. This renovation included the development of the Information Commons (group and individual study and gathering space), the University Writing Center, and support spaces (circulation, reserves, offices, and reference). In 2009, the Campus Dining program opened a Starbucks in the library to further enhance the quality of the gathering space.

UAB Student Housing and Residence Life completed a student housing master plan study in 2011-2012. Surveys and focus groups were conducted to gather information from relevant community members. One of the recommendations was to proceed with the development of a new freshmen hall. Design is complete, and construction is underway for a 680 bed facility to open Fall 2015. In the interim, Student Housing has master leases in place with two off-campus properties to provide approximately 125 student bed spaces.

Other non-academic construction projects include a 168,700 square foot student center to replace the Hill University Center, a Student Health and Wellness Center, and several smaller dining venues to support the campus community while the student center is being built. The new Student Center programming efforts were conducted in Spring 2012. Surveys and focus groups with students, faculty, and staff were held to gather information to inform the final program documents (HUC Detailed Outline Program and HUC Final Work Session). Construction is currently underway and slated for completion in Summer 2015.

The move out of the Hill University Center to make way for its demolition and construction of the new student center necessitated renovations to multiple facilities to provide permanent new office locations for offices which will not be returning to the new student center. These included a renovation to the ground floor of the Lister Hill Library for the Graduate School; renovations to the 1701, 1629, and 1605 buildings on 11th Avenue South to provide new space for the Admissions office, the Enrollment Management Operations, and Registrar, respectively; and a major renovation to Administration Building 420 for the new Institutional Effectiveness and Analysis organization.

The Student Health and Wellness Center is a renovation project that will shift these important services to a much more student-friendly location. The new location, on the third floor of the Learning Resource Center, will allow services that were previously housed in distinct facilities to be co-located to better serve students from a holistic perspective.

Campus Dining Services planning was completed in 2013. The recommendations from the report, which included data analysis, focus groups, and student surveys, resulted in the addition of three new dining facilities. A new dining venue opened in April 2014 in the Lister Hill Library to serve the Schools of Medicine, Optometry, and Dentistry. Current campus dining facilities are shown on this map. Since Spring 2012, the Campus Recreation Center has undergone several improvement projects, detailed in the facility's Capital Improvement Plan and Risk Management Audit, which include carpet replacement and painting throughout, repairs to walls and flooring in the Center Courts, repairs to the four court gym floors, and the creation of a wet classroom near the pool area. In addition, new weight, fitness, and gaming equipment has been purchased and furnishings have been replaced. A new University Academic Success Center (internet access required) was established, with minor renovation and the addition of furnishings and equipment, in the Center for Teaching in Learning in Fall 2013. The space is designed to accommodate tutoring, academic coaching, peer mentoring, study skills workshops, and courses designed to help students develop strategies for academic success.

Lister Hill Library has undergone significant renovations beginning in 2012 to move the University archives onto the main campus from a warehouse which was being demolished. The new space, located on the third floor, far better serves this purpose in a more central location. The ground floor was renovated beginning in spring 2013 to accommodate a permanent move of the Graduate School out of the Hill University Center. Financial Aid and Student Accounting Services were also moved to this location as a temporary destination. The main level is undergoing a renovation to add the aforementioned dining component and to better utilize the remaining space for offices, student study space, and for display of the art collection.

In 2006, a Science Complex Feasibility Study was undertaken to develop an on-campus research crescent that includes space for wet laboratories, for translational research, and for expanding programs within the School of Nursing and School of Health Professions. The first phase of this research master plan has been undertaken with the recent completion of the two-story addition to the School of Health Professions.

Facilities Operations and Services

The Facilities Division is responsible for maintaining the campus buildings and grounds through service and sustainability. The division
provides planning, design, construction, and renovations to the facilities as well as maintaining the day-to-day operations and maintenance of the buildings, grounds, and utility systems. The entire division is comprised of several departments providing specialty services. These departments include:

- **Building Services and Grounds** ensures that all space within the buildings and all grounds located on campus are maintained with the highest standards. Building Services follow the cleanliness standards set down by the Association of Physical Plant Administrators (APPA). UAB follows the custodial staffing guidelines for educational facilities as described by APPA. APPA identifies five levels of appearance, and UAB’s staffing is based on an APPA level two – ordinary tidiness. UAB benchmarks its custodial staffing levels against other similar institutions by completing the APPA Facilities Performance Indicators Survey each year.

- **Campus Maintenance** oversees the maintenance and operations of campus buildings. Several sub-units such as roof repairs and elevator maintenance are included in this department.

- **Utilities Management** provides the campus community with steam and chilled water. They are also responsible for working with the local utility companies to set the rates for electricity, domestic water, natural gas, and sanitary and storm sewers. This department is also involved with projects designed to save and conserve resources used by the campus.

- **Planning, Design and Construction** oversees the updating of the Campus Master Plan and the design and construction of all new buildings, additions, and capital renovations. Projects managed by this department are established in many ways including the Annual Capital Development Plan, and through project requests submitted by campus administrators in response to facilities needs within their schools, divisions, and departments.

- **Building Renovations and Design Services** provides in-house design, construction, and project management services for small and mid-cap renovation projects. Projects managed by this department are established through requests submitted by campus administrators in response to facilities needs within their schools, divisions, and departments. In addition, this department assists operations in addressing building deficiencies as deferred maintenance/facilities renewal and whose scope of work is outside normal routing maintenance. Projects are requested using an electronic work order form, and they are assigned to design/construction teams.

- **Sustainability efforts** were undertaken in 2011 to ensure that physical facilities are well maintained and sustainable. UAB established a Committee on Sustainability to initiate, support, and communicate sustainability initiatives across the UAB enterprise and the community. The membership of the committee reflects those with interest and skills to support all elements of sustainability, including representatives from the faculty, purchasing, energy management, hospital, recycling, design and construction, facilities management, Occupational Health & Safety, transportation, media relations, and students. Since its inception, the Committee has raised the visibility of sustainability on the campus through support of a series of new and existing initiatives and programs.

**Earth Day celebrations** were held in 2012 and 2013 in the central green spaces of campus, showcasing UAB’s efforts in Sustainability, particularly Energy Management and Recycling. In early 2013, the Committee supported the implementation of a UAB Gardens, a program for faculty, staff, and students to rent small plots on an unused piece of UAB property for growing vegetables, small fruit, and flowers. Another integral part of the Sustainability effort on campus is the Department of Energy Management, which utilizes the UAB District Chilled Water system to reclaim groundwater and reuse condensate from air handlers.

Recycling is also a major component of UAB Sustainability. In FY 2012-2013, the UAB Recycling program collected 382,340 pounds of corrugated cardboard, 593,560 pounds of office paper, 7,660 pounds of aluminum, and 23,510 pounds of plastic.

To further facilitate the development of sustainability at UAB, a full-time Coordinator of Sustainability was hired in April 2013. Reflecting the expansive scope of sustainability among UAB operations, academics, research, and outreach, the Coordinator has a split time appointment, with responsibilities in both Facilities and the College of Arts and Sciences. The Coordinator is tasked with facilitating the integration of sustainability into both the operational and academic functions of the University and networking with and facilitating internal and external resources to accomplish that goal. Further, this position is responsible for assessing cost-effectiveness, technical feasibility, and means of achieving acceptance for programs and initiatives recommended by the Committee and working with the appropriate University departments to implement such projects. The Coordinator serves as the Chair of the UAB Committee on Sustainability, such that the efforts of the Coordinator and the initiatives of the Committee are effectively integrated.

UAB is now an institutional member of the Association for the Advancement of Sustainability in Higher Education. Current UAB Sustainability programs (internet access required) include internship opportunities, increased incorporation of sustainability in coursework, re-launch of the UAB Recycling Program, and more collaboration with student groups and sustainability service opportunities on campus and in the community. Through increased visibility in the design process of new construction projects on campus, UAB has constructed the first bioswale for parking lot stormwater handling as well as a roof rainwater collection system for landscape irrigation using non-potable water. The Office of Student Life established a Sustainability Investment Fund Board in Spring 2014 for students to advise on the allocation of a small fund for sustainability projects on campus, such as lighting efficiency upgrades, educational programs, and solar installations.

**Surveys**

To assist in determining the adequacy of campus facilities, UAB has incorporated in its overall planning processes the opinions of the student body as evidenced in the Noel-Levitz Student Satisfactory Inventory. The results of the 2011 survey indicated that students were dissatisfied with the adequacy of lighting and security conditions in parking areas and overall safety and security on campus. To address these concerns, the UAB Police Department and Facilities Division participate in an annual safety walk/ride to make recommendations to improve safety and security on campus. A group of University administrators and students perform a yearly audit of the campus at night to identify any areas of concern related to exterior lighting and safety. In addition to the yearly night audit, Campus Maintenance has a maintenance mechanic tour the campus every two weeks to identify any exterior lighting that is out on the campus. There are three types of exterior lighting on the UAB campus: UAB owned and maintained, City of Birmingham owned and
maintained, and Alabama Power Company owned and maintained. Maps of exterior lighting on campus identify maintenance responsibility. After the audit is complete, work orders are started on any lights which are UAB’s responsibility. The remaining list is turned over to the UAB Energy Management Department which notifies and follows-up with the City of Birmingham and Alabama Power Company.

The Facilities Division also conducts customer satisfaction surveys to evaluate and monitor the performance of departments within Facilities. Feedback is provided in a variety of ways, including individual electronic surveys, in-person follow-up with customers, paper surveys, and interdepartmental surveys. These surveys are critical to addressing the concerns of end-users and to improving performance.

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[URL] University Academic Success Center
[PDF] Research Crescent Plan Summary
[PDF] 2013 Facilities Performance Indicators Survey
[PDF] Energy Management Presentation (Page 11)
[PDF] Project Mgmt Svcs Monthly Project Status Report
[PDF] Sustainability Initiatives
[PDF] UAB Facilities Green Day 2012
3.12

Substantive change
The institution notifies the Commission of changes in accordance with the Commission’s substantive change policy and, when required, seeks approval prior to the initiation of changes. (See Commission policy “Substantive Change for Accredited Institutions.”)

 Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

Responsibility
The UAB SACSCOC Liaison, the Associate Provost for Assessment and Accreditation, is responsible for making notifications consistent with the SACSCOC Policy Statement, “Substantive Change for SACSCOC Accredited Institutions.”

Compliance
The Provost requires that deans and other administrators report potential substantive changes to the Associate Provost for evaluation and reporting to SACSCOC as necessary. The internal notification requirements have recently been placed in the UAB Policies and Procedures Library (internet access required) to enhance institution-wide awareness.

Participation of the SACSCOC Liaison in the new program approval process (see Comprehensive Standard 3.4.1) enhances substantive change reporting. Each new program (majors, concentrations, minors, and certificates) must seek and gain approval of both the Notification of Intent to Submit a Proposal (NISP) and the final program proposal before submission to the Board of Trustees of the University of Alabama System and the Alabama Commission on Higher Education (ACHE), the coordinating agency for higher education in the state of Alabama. The SACSCOC Liaison is an ex officio member of the committees which approve new academic programs, the Academic Programs Review Committee (undergraduate) and the Graduate School Advisory Committee (graduate), which assures awareness of program additions. Thus, UAB has an institutional governance process for effecting substantive change that parallels and reinforces the SACSCOC substantive change process.

List of Substantive Changes
The Substantive Changes since 2005 are as follows:
<table>
<thead>
<tr>
<th>Approval Date</th>
<th>Description of Substantive Change</th>
<th>Submission Letter</th>
<th>Approval Letter</th>
</tr>
</thead>
<tbody>
<tr>
<td>08-Sep-2008</td>
<td>Joint Curricular Venture, D.N.P. Program with University of Alabama and University of Alabama in Huntsville</td>
<td>D.N.P. Program (All) (Page 3)</td>
<td>D.N.P. Program (All)</td>
</tr>
</tbody>
</table>
| 09-May-2012   | Relocation of following off-campus sites:  
• from St. Bernard Preparatory School to West Elementary School  
• from Green Valley Elementary School to Simmons Middle School  
Establishment of off-campus sites (25-49% of degree):  
• Jefferson State Community College  
• King Fahad Specialist Hospital, Damman, Saudi Arabia  
• Arab Academy of Science, Technology, and Maritime Transport, Alexandria Egypt  
• Housing and Building Research Center, Dokki-Giza, Egypt | Off-sites - Relocation and New (Submission) | Off-sites - Relocation and New (Approval) |
| 30-May-2012   | Notification of 50% or more online of the following programs:  
• B.S. in Accounting  
• Master of Accounting | Online Programs in Accounting, M.Eng., and Certificates (Submission) | Online Programs in Accounting (Approval) |
| 02-Jul-2012   | Closures of the following programs:  
• B.S. in Radiologic Sciences (Radiation Therapy)  
• B.S. in Cytotechnology  
• B.S.Ed. in Special Education  
• D.Sc. in Physical Therapy | Program Closures (Submission) | Program Closures (Approval) |
| 21-Sep-2012   | Notification of 50% or more online of the following programs:  
• Master of Engineering  
• Master of Public Health  
• Graduate Certificate in Sustainable Engineering  
• Graduate Certificate in Electric Power Systems  
• Graduate Certificate in Public Health  
• Graduate Certificate in Clinical Research Management | Online Programs in Accounting, M.Eng., and Certificates (Submission) | Online M.Eng., M.P.H., Certificates (Approval) |
| 09-Oct-2012   | Relocation of off-campus site from West Elementary School to Cullman Area Career Center | Site Relocation - Cullman (Submission) | Site Relocation - Cullman (Approval) |
| 13-Nov-2012   | Online Graduate Certificate in Health Focused Patient/Clinic Management program | Online Certificate Patient-Client Management (Submission) | Online Certificate Patient-Client Management (Approval) |
| 12-Feb-2013   | Notification of 50% or more online of the B.S. in Psychology program | Online Psychology Program (Submission) | Online Psychology Program (Approval) |
| 11-Mar-2013   | Notification of 50% or more online of the following programs:  
• B.A. and B.S degrees in Economics  
• B.S. in Finance  
• B.S. in Industrial Distribution  
• B.S. in Information Systems  
• B.S. in Management  
• B.S. in Marketing | Online Programs in Business (Submission) | Online Programs in Business (Approval) |
| 25-Sep-2013   | Retroactive conversion of D.S.N degree to Ph.D. in Nursing | Nursing D.S.N. Conversion (Submission) | Nursing D.S.N. Conversion (Approval) |
| 8-May-2014    | Relocation of off-campus site from Simmons Middle School to Crossroads School | Off-site Relocation - Simmons to Crossroads (Submission) | Off-site Relocation - Simmons to Crossroads (Approval) |
| 8-May-2014    | Establishment of off-campus site offering 25-49% of medical degree, Montgomery regional Medical Center | Montgomery Campus (Submission) | Montgomery Offsite (Approval) |
| 25-Aug-2014   | Dual Ph.D. Degree program between UAB and | Dual Degree - BME Georgia | Pending |
Sources (In Order of Appearance)

[PDF] Substantive Changes Policy
[URL] Policies and Procedures Library
[PDF] New Program Approval Process
[PDF] Membership - APRC
[PDF] Membership - ADCOM
[PDF] DNP Program (All) (Page 3)
[PDF] DNP Program (All)
[PDF] Offsites - Relocation and New (Submission)
[PDF] Offsites - Relocation and New (Approval)
[PDF] Online Programs in Accounting, MEng, and Certificates (Submission)
[PDF] Online Programs in Accounting (Approval)
[PDF] Program Closures (Submission)
[PDF] Program Closures (Approval)
[PDF] Online MEng, MPH, Certificates (Approval)
[PDF] Site Relocation - Cullman (Submission)
[PDF] Site Relocation - Cullman (Approval)
[PDF] Online Certificate Patient-Client Management (Submission)
[PDF] Online Certificate Patient-Client Management (Approval)
[PDF] Online Psychology Program (Submission)
[PDF] Online Psychology Program (Approval)
[PDF] Online Business Programs (Submission)
[PDF] Online Programs in Business (Approval)
[PDF] Nursing DPN Conversion (Submission)
[PDF] Nursing DPN Conversion (Approval)
[PDF] Offsite Relocation - Simmons to Crossroads (Submission)
[PDF] Offsite Relocation - Simmons to Crossroads (Approval)
[PDF] Montgomery Campus (Submission)
[PDF] Montgomery Offsite (Approval)
[PDF] Dual Degree - BME Georgia (Submission)
3.13

Policy Compliance
The institution complies with the policies of the Commission on Colleges.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☑ Not Applicable

Narrative
See narrative addressing individual policies.
3.13.1

Policy Compliance: Accrediting Decisions of Other Agencies

Applicable Policy Statement. Any institution seeking or holding accreditation from more than one U.S. Department of Education recognized accrediting body must describe itself in identical terms to each recognized accrediting body with regard to purpose, governance, programs, degrees, diplomas, certificates, personnel, finances, and constituencies, and must keep each institutional accrediting body apprised of any change in its status with one or another accrediting body.

Documentation: The institution should (1) list federally recognized agencies that currently accredit the institution or any of its programs, (2) provide the date of the most recent review by each agency and indicate if negative action was taken by the agency and the reason for such action, (3) provide copies of statements used to describe itself for each of the accrediting bodies, (4) indicate any agency that has terminated accreditation, the date, and the reason for termination, and (5) indicate the date and reason for the institution voluntarily withdrawing accreditation with any of the agencies.

Judgment
☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

UAB seeks and holds accreditation from a number of accrediting bodies that are recognized by the U.S. Department of Education. Each federally recognized accrediting agency that accredits the programs at the University is listed in the following table.

The primary manner that UAB describes itself with regard to federally recognized accrediting agencies and other accreditors is the annually-updated Facts & Figures. The most recent edition, 2013-2014 Facts & Figures shows the federally recognized accrediting agencies highlighted. UAB also describes its status with accrediting agencies in catalogs and websites. These references are included in the table below.
<table>
<thead>
<tr>
<th>Accredited Program or School</th>
<th>Date of Last Accreditation Review</th>
<th>Federally Recognized Accrediting Agency</th>
<th>Termination Action or Withdrawal</th>
<th>Other Descriptions of Accreditation Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Art</td>
<td>2008</td>
<td>National Association of Schools of Art and Design</td>
<td>No</td>
<td>Department of Art website, 2014-2015 Undergraduate Catalog</td>
</tr>
<tr>
<td>Medical Psychology</td>
<td>2007</td>
<td>American Psychological Association</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Music</td>
<td>2008</td>
<td>National Association of Schools of Music</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Social Work</td>
<td>2007</td>
<td>Council on Social Work Education</td>
<td>No</td>
<td>Department of Social Work website</td>
</tr>
<tr>
<td>Theater</td>
<td>2009</td>
<td>National Association of Schools of Theater</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>School of Dentistry</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>All Specialty Dental Programs</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>Endodontics</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>Maxillofacial Prosthodontics</td>
<td>2009</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>Oral and Maxillofacial Surgery</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>Orthodontics</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>Pediatric Dentistry</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>Periodontics</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>Prosthodontics</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>General Practice Residency</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>Advanced Education in General Dentistry</td>
<td>2014</td>
<td>American Dental Association, Commission on Dental Accreditation</td>
<td>No</td>
<td>School of Dentistry website</td>
</tr>
<tr>
<td>Art Education</td>
<td>2008</td>
<td>National Association of Schools of Art and Design</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Music Education</td>
<td>2008</td>
<td>National Association of Schools of Music</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Dietetic Internship</td>
<td>2008</td>
<td>Accrediting Council for Education in Nutrition and Dietetics</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Occupational Therapy</td>
<td>2005</td>
<td>Accreditation Council for Occupational Therapy Education</td>
<td>No</td>
<td>Occupational Therapy website, 2014-2015 Graduate Catalog</td>
</tr>
<tr>
<td>University of Alabama School of Medicine</td>
<td>2014</td>
<td>Liaison Committee on Medical Education</td>
<td>No</td>
<td>School of Medicine website</td>
</tr>
<tr>
<td>School of Nursing</td>
<td>2010</td>
<td>Commission on Collegiate Nursing Education</td>
<td>No</td>
<td>School of Nursing website, 2014-2015 Undergraduate Catalog, 2014-2015 Graduate Catalog</td>
</tr>
<tr>
<td>Nurse Anesthesia</td>
<td>2010</td>
<td>Council on Accreditation of Nurse Anesthesia Educational Programs</td>
<td>No</td>
<td>School of Nursing website, 2014-2015 Undergraduate Catalog, 2014-2015 Graduate Catalog</td>
</tr>
<tr>
<td>Professional Program (O.D.)</td>
<td>2009</td>
<td>Accreditation Council on Optometric Education</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Residency programs - Cornea and Contact Lenses</td>
<td>2009</td>
<td>Accreditation Council on Optometric Education</td>
<td>No</td>
<td>School of Optometry website</td>
</tr>
<tr>
<td>Residency programs - Family Practice Optometry</td>
<td>2011</td>
<td>Accreditation Council on Optometric Education</td>
<td>No</td>
<td>School of Optometry website</td>
</tr>
<tr>
<td>Residency programs - Geriatric Optometry and Low Vision Rehabilitation – Birmingham VA</td>
<td>2012</td>
<td>Accreditation Council on Optometric Education</td>
<td>No</td>
<td>School of Optometry website</td>
</tr>
<tr>
<td>Primary Eye Care – Tuscaloosa VA</td>
<td>2011</td>
<td>Accreditation Council on Optometric Education</td>
<td>No</td>
<td>School of Optometry website</td>
</tr>
</tbody>
</table>
UAB is described in identical terms to each of the above accrediting bodies. UAB has not received any termination action from any agency and it has not voluntarily withdrawn with any agency.

UAB's SACSCOC Liaison is responsible for maintaining this accreditation inventory and notifying SACSCOC of any changes concerning the accrediting decisions of these other agencies. Further, the SACSCOC Liaison keeps each institutional accrediting body apprised of any change in its status as received from any other accrediting body. Deans and other academic officers are responsible for sending all final reports from accrediting agencies to the SACSCOC Liaison for reporting to SACSCOC as necessary, which has been made a University policy.

Sources (In Order of Appearance)

[PDF] Facts and Figures (Accredited) (Page 20)
[PDF] Department of Art - Accreditation
[PDF] 2014-2015 Undergraduate Catalog (Page 99)
[PDF] Department of Social Work - Accreditation
[PDF] School of Dentistry - Postdoctoral Programs
[PDF] School of Education - Accreditation
[PDF] 2014-2015 Undergraduate Catalog (Page 210)
[PDF] 2014-2015 Graduate Catalog (Page 73)
[PDF] Occupational Therapy - Accreditation
[PDF] 2014-2015 Graduate Catalog (Page 113)
[PDF] Physical Therapy - Accreditation
[PDF] 2014-2015 Graduate Catalog (Page 119)
[PDF] School of Medicine - Accredited Programs
[PDF] School of Nursing - Accreditation
[PDF] 2014-2015 Undergraduate Catalog (Page 283)
[PDF] 2014-2015 Graduate Catalog (Page 128)
[PDF] School of Optometry - Accreditation
[PDF] Accrediting Organizations Policy
3.13.2

Policy Compliance: Collaborative Academic Arrangements: Policy and Procedures

Applicable Policy Statement. Member institutions are responsible for notifying and providing SACSCOC with signed final copies of agreements governing their collaborative academic arrangements (as defined in this policy). These arrangements must address the requirements set forth in the collaborative academic arrangements policy and procedures. For all such arrangements, SACSCOC-accredited institutions assume responsibility for (1) the integrity of the collaborative academic arrangements, (2) the quality of credits recorded on their transcripts, and (3) compliance with accreditation requirements.

Documentation: The institution should provide evidence that it has reported to the Commission all collaborative academic arrangements (as defined in this policy) that included signed final copies of the agreements. In addition, the institution should integrate into the Compliance Certification a discussion and determination of compliance with all standards applicable to the provisions of the agreements.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The UAB Substantive Changes Policy ensures that SACSCOC will be notified and that SACSCOC will be provided copies of signed final agreements. In addition, the Contract/Agreement Routing Form ensures that all necessary reviews, including legal, financial, and Provost, are conducted before an agreement is signed.

UAB has entered into one such agreement (dual degree) since such collaborative arrangements became reportable as substantive change:

<table>
<thead>
<tr>
<th>Country</th>
<th>Partner Institution</th>
<th>Effective Dates</th>
<th>Degree</th>
<th>Focus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Georgia</td>
<td>Georgian Technical University, Tbilisi, Georgia</td>
<td>1/01/2014-12/31/2019</td>
<td>PhD</td>
<td>Biomedical Engineering</td>
</tr>
</tbody>
</table>

The signed documentation of this agreement and the notification letter demonstrate compliance with this policy.

Verbiage was added to such agreements to assure policy compliance:

"This agreement will not be implemented until UAB receives formal written acceptance of notification and agreement by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) of the substantive change notification."

UAB has entered Agreements Involving Joint and Dual Academic Awards prior to the requirement to report them as substantive change, and they documented in Comprehensive Requirement 3.4.7.

UAB assumes responsibility for the quality of the credits recorded on UAB students’ transcripts as well as compliance with any accrediting requirements with respect to these arrangements. UAB uses the disclaimer in the SACSCOC policy when describing these relationships and reviews, approves, and monitors its partners' statements of the relationships.

Sources (In Order of Appearance)

[PDF] Substantive Changes Policy
[PDF] Contract-Agreement Review Routing Form
[PDF] Georgian Tech University - PhD in Biomedical Engineering
[PDF] Dual Degree - BME Georgia (Submission)
3.13.3

Policy Compliance: Complaint Procedures Against the Commission or Its Accredited Institutions

Applicable Policy Statement. Each institution is required to have in place student complaint policies and procedures that are reasonable, fairly administered, and well-publicized. (See FR 4.5). The Commission also requires, in accord with federal regulations, that each institution maintains a record of complaints received by the institution. This record is made available to the Commission upon request. This record will be reviewed and evaluated by the Commission as part of the institution's decennial evaluation.

Documentation: When addressing Federal Requirement 4.5, the institution should provide a copy of its student complaint policy or policies and, for each policy, an example of how the institution follows it through resolution of the complaint. (An institution may have several policies adapted to student services, academics, etc.)

When addressing this policy statement, the institution should provide information to the Commission describing how the institution maintains its record and also include the following: (1) individuals/offices responsible for the maintenance of the record(s), (2) elements of a complaint review that are included in the record, and (3) where the record(s) is located (centralized or decentralized). The record itself will be reviewed during the on-site evaluation of the institution.

Judgment

☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

In Federal Requirement 4.5, UAB demonstrates that it has adequate procedures for addressing written student complaints and is responsible for demonstrating that it follows those procedures when resolving student complaints. Written student complaints cover a wide range of topics: as a result, UAB has complaint policies and procedures for five different categories of complaints:

1. General Student Complaints
2. Academic Complaints
3. School of Medicine Student Complaints
4. Ethical Complaints
5. Equity/Diversity Complaints

For each category of complaints, this narrative will provide the following details:

1. a brief description of the complaint category
2. the related policy
3. individuals/offices responsible for the maintenance of the record(s)
4. elements of a complaint review that are included in the record
5. where the record(s) is located (centralized or decentralized)

General Student Complaints

1. This centralized complaint system encompasses a variety of complaint topics:
   - Academic Misconduct
   - Disability Support & Accommodations
   - Grade Grievances & Appeals (with direct links to the "Academic Complaints" process below)
   - Non-Academic Conduct
   - Ethical Complaints (with direct links to the "Ethical Complaints" process below)
   - Equity/Diversity Complaints (with direct links to the "Equity/Diversity Complaints" process below)
   - Complaints Specific to Schools and the College
     - Academic Advising
     - Course Offerings & Schedule
     - Instruction
     - Laboratories, Facilities, & Safety
   - Other Miscellaneous Complaints
2. The "Student Complaint Policy" is available in the web-based UAB Policies & Procedures Library, as well as the UAB Students website (internet required to access each reference):
   - "UAB is committed to reviewing and responding to student complaints appropriately. A complaint is an expression of discontent based on the result of behavior or circumstances that the student believes are unjust, unsafe, inequitable, or create an unnecessary hardship. Students who attempt to resolve issues directly with the appropriate parties and are not satisfied may file formal written complaints through BlazerNET. Complaints should include any involved parties so that UAB can fully investigate the concern. One Stop Student Services receives complaints submitted through BlazerNET, directs them to appropriate campus offices (when necessary), and ensures that students receive feedback. Students may not make anonymous complaints in BlazerNET, nor may they make complaints on behalf of other individuals."
3. One Stop Student Services, which provides professional integrated services to all students, is responsible for the maintenance of these records. Within this office the Assistant Director of One Stop Student Services, as well as a senior counselor, has primary responsibility.
4. The following details are maintained as part of the record:
   - Student Name
   - Date/Time of Original Complaint
Every complaint is automatically routed to two administrators, depending on the complaint topic: Academic Complaints/Grievances

1. Academic complaints include a variety of academic matters, including grades and other related topics.
2. Policies related to academic complaints are located both in the Undergraduate Catalog and Graduate Student Handbook.

- Undergraduate Catalog: "Judgments on academic matters are most appropriately made by individuals with expertise in the particular academic discipline involved. For this reason, complaints by students on academic matters are the responsibility of the department and school involved. Normally, such complaints can be resolved quickly through discussion with the faculty directly involved. In rare situations where such resolution does not occur, the student should contact the chair of the appropriate academic department to file a formal grievance. The student's grievance should be submitted in writing and accompanied by any appropriate documentation. Grievances should be submitted at the earliest possible time. Consideration will not be given to any grievance submitted later than the end of the term immediately following the term in which the matter in question arose. The department should acknowledge the date the grievance is received and provide notice to the student of when an answer may be expected. It is the responsibility of the department chair to provide an answer to the student within 10 working days. If the matter cannot be settled within the department, the student has 10 working days from the day the department's response is received to appeal to the dean of the school in which the department is located. The dean should acknowledge receipt of the student's appeal and inform the student of the course of action within 10 working days of the date the appeal is received in the dean's office. At the dean's discretion, an advisory panel may be appointed to study the disagreement and make a recommendation to the dean. However, it is the responsibility and prerogative of the dean alone to make, in a timely manner, a decision on any academic disputes which have not been resolved at lower levels, and the decision of the dean is final."

- Graduate Student Handbook: "Although rare, disagreements can arise that may affect a student's progress towards the completion of the degree. The parties involved in such a dispute should make a good faith effort to discuss and resolve the disagreement. The following guidelines may be helpful.

  Step 1. Identify the problem; clearly define what happened and what you perceive is needed to resolve the issue.

  Step 2. Approach the other person or group involved with the dispute one-on-one. Set up a mutually agreeable time to talk; listen and ask to be listened to; use "I" statements when speaking; avoid assigning blame or leveling accusations.

  Step 3. If these steps do not culminate in a resolution, the parties involved with the dispute should agree to approach an impartial third party, a mediator, who will respect confidentiality and with whom the situation can be discussed. The Program Director will suggest such a third party if asked. The mediator may be able to help the parties involved reach a resolution.

  Step 4. If no resolution is found then you may submit the disagreement to the Graduate Program for arbitration."

3. As noted in the official policies, chairs of individual departments, program directors, and deans of the schools (if decisions are appealed) are responsible for maintaining the records.

4. Because individual schools and departments maintain these records, some diversity exists in details that are maintained. However, the Office of the Provost requires schools and departments to maintain a record of complaints with at least the following elements:

- Student Name
- Date of Complaint
- Description of Complaint
- Description of Follow-Up/Resolution

5. Academic complaints are maintained in a decentralized manner, with each school/department maintaining their own records separately.

School of Medicine Student Complaints

1. This decentralized complaint system encompasses a variety of complaint topics. Users may also submit commendations within the same topical areas:

- Individual Medical Student Conduct
- Individual Medical Faculty or Resident Conduct
- Facility
- Pre-Clinical Education
- Clinical Education
- Possible Academic Misconduct by a Medical Student
- "Anything Else"

2. The "Policy for a Healthy Learner Environment and Learner Mistreatment" is available publicly in the "Policies and Procedures" section of the School of Medicine website (under the "Behavior" tab) (internet access required).

3. Every complaint is automatically routed to two administrators, depending on the complaint topic:
4. The following details are maintained as part of the record:
   - Complaint Topic (e.g., Individual Medical Student Conduct)
   - Student Name (if not an anonymous complaint)
   - Whether Complaint Was Anonymous
   - Description of Disposition

5. The records, both the original report and the administrator-summarized disposition, are located within the "Report It" system, an electronic database maintained within the School of Medicine. It is accessible to all UAB School of Medicine students with their university credentials (BlazerID and password). Administrator access is controlled through granular security; the individual reports are accessible only by appropriate personnel. The details of each disposition are kept in the personal files of the administrator addressing the report.

**Ethical Complaints**

1. This centralized complaint system encompasses a variety of ethical concerns, including the following topics:
   - Conflict of Interest concerns
   - Theft
   - Medical coding and billing issues
   - NCAA violations
   - Health Insurance & Portability & Accountability Act (HIPAA) privacy or security issues
   - Quality and safety concerns (including OSHA & EPA)
   - Wage, benefit, or hours abuses: Accounting and auditing irregularities
   - Misuse or waste of American Recovery and Reconstruction Act (ARRA) stimulus fund
   - Deliberate acts to deceive in order to receive gain
   - Discrimination
   - Violations of UAB policies and procedures
   - Export Controls violations
   - Sexual harassment

2. The "UAB Enterprise Code of Conduct" is available on the [University Compliance website](https://www.uab.edu/compliance), the [Ethics Matters website](https://www.ethicsmatters.uab.edu), and the web-based [UAB Policies & Procedures Library](https://www.uab.edu/policies) (internet access required to access each reference).

3. The Ethics Hotline is a University of Alabama System resource used by all campuses within the University of Alabama System, as well as the UAB Health System, UAB Hospital, Health Services Foundation, and all affiliated clinical entities within the UAB enterprise. It is managed at the system level by Chad Tindol, Director of Risk Management in the University of Alabama System Office. Incidents reported through the hotline by phone or online are received by an external vendor (The Network) 24/7 and then distributed to the appropriate location once initially triaged by the case managers (one representative each from the University of Alabama System, UAB Office of Counsel, and University Compliance Office).

4. The following details are maintained as part of the record:
   - Name of Reporter (unless report is anonymous)
   - General UAB Code of Conduct Topic
   - General Description of Concern
   - Nature of Disposition
   - Speed of Resolution

   At times, individuals making reports may feel anonymity is necessary, and the UAB Ethics Hotline offers them the option of bringing forth a good faith concern they feel needs to be addressed by the organization while withholding their identity. Consequently, it is often difficult or impossible to determine whether the individual raising a concern is a student, faculty, employee, customer, patient, etc.

5. The records are maintained centrally in the University Compliance Office and are updated by an appropriate case manager from either the Office of General Counsel, Office of Internal Audit, or University Compliance Office.

**Equity/Diversity Complaints**

1. This centralized complaint system encompasses a variety of equity/diversity concerns that relate to treatment, grades, negative speech, retaliation, and similar issues:
   - Race discrimination
   - Sex discrimination
   - Gender discrimination
2. The "Equal Opportunity and Discriminatory Harassment Policy" (internet access required) is available on the web-based UAB Policies & Procedures Library.

3. The non-academic conduct officers are responsible for the maintenance of the records:
   - Academic Affairs: Mr. Andrew Marsch, Assistant Vice President for Student Life
   - Dentistry: Dr. Steven Filler, Associate Dean of Student Alumni & External Affairs/Director of Admissions, School of Dentistry
   - Graduate: Dr. Bryan Noe, Dean of the Graduate School
   - Health Professions: Dr. Donna Slovensky, Associate Dean for Academic and Student Affairs
   - Medicine: Dr. Laura Kezar, Associate Dean for Students/Physiatrist
   - Nursing: Mr. Pete Tofani, Assistant Dean, Student Affairs, School of Nursing
   - Optometry: Dr. Gerald Simon, Director of Student Affairs, Clinical Associate Professor of Optometry
   - Public Health: Dr. Donna Arnett, Professor and Chair of the Department of Epidemiology

4. The following details are maintained as part of the record:
   - Name
   - School/College & Department
   - Date
   - Basis for Complaint
   - Resolution

5. The records are maintained centrally in the Office of the Vice President for Equity and Diversity.

Logs and records from the various complaint categories will be available for review by the on-site committee. The exception is complaints filed through the UAB Ethics Hotline. Because UAB’s process for reviewing hotline reports requires a high level of confidentiality in order to promote a culture of trust and compliance, these logs are available only to a select group of administrators. However, general, aggregate information related to the topic, dates of submission and close, and disposition of hotline reports will be available for review by the on-site committee.

Sources (In Order of Appearance)

[URL] Student Complaint Policy
[URL] Student Complaint Policy - UAB Students Website
[PDF] 2014-2015 Undergraduate Catalog (Page 67)
[PDF] 2014-2015 Graduate Student Handbook (Page 20)
[PDF] Policy for a Healthy Learning Environment and Learner Mistreatment
[URL] School of Medicine Policies & Procedures
[PDF] UAB Enterprise Code of Conduct
[URL] UAB Compliance Website - Code of Conduct
[URL] UAB Ethics Matter Website
[URL] UAB Enterprise Code of Conduct Policy
[URL] Equal Opportunity and Discriminatory Harassment Policy
3.13.4.a

Policy Compliance: Reaffirmation of Accreditation and Subsequent Reports

Applicable Policy Statements
An institution includes a review of its distance learning programs in the Compliance Certification.

Documentation: In order to be in compliance with this policy, the institution must have incorporated an assessment of its compliance with standards that apply to its distance and correspondence education programs and courses.

Judgment
☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

UAB offers a number of degree programs. Some degree programs are offered in alternate delivery modes (internet access required) including online, distance accessible, and blended, in which 50% or more of the content is delivered online. Assessment for such programs follows the same processes as do traditional programs. Therefore, the assessment process for a sampling of various delivery modes is detailed in Core Requirement 3.3.1.1.

Additionally, UAB indicates compliance with the SACSCOC Distance and Correspondence Education Policy Statement (SDCEPS) relating to distant or correspondence throughout the Compliance Report in response to the core requirements, comprehensive standards, and federal requirements listed in the two tables that follow.

### SDCEPS Policy Statements Addressed in Compliance Report Responses

<table>
<thead>
<tr>
<th>SDCEPS Policy Statements</th>
<th>Compliance Report Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Identity</td>
<td>Federal Requirement 4.8.1 – Verification of Student Identity in Distance or Correspondence Education</td>
</tr>
<tr>
<td>Student Privacy</td>
<td>Federal Requirement 4.8.2 – Written Procedure for Distance and Correspondence Education Student’s Privacy</td>
</tr>
<tr>
<td>Student Identity Verification Charges</td>
<td>Federal Requirement 4.8.3 – Written Procedure for Projected Additional Student Charges</td>
</tr>
<tr>
<td>Headcount</td>
<td>Core Requirement 2.5 – Institutional Effectiveness</td>
</tr>
<tr>
<td>Educational Programs and Service</td>
<td>Comprehensive Standard 3.1.1 – Institutional Effectiveness</td>
</tr>
</tbody>
</table>

### SDCEPS Guidelines in the Application of the Principles of Accreditation to Distance and Correspondence Education Addressed in Compliance Report Responses
<table>
<thead>
<tr>
<th>SDCEPS Guidelines</th>
<th>Compliance Report Responses</th>
</tr>
</thead>
</table>
| **Mission**       | Core Requirement 2.4 – Institutional Mission  
                    Comprehensive Standard 3.2.7 – Governance and Administration: Organizational Structure |
| **Curriculum and Instruction** | Core Requirement 2.7.1 – Program Length  
                    Core Requirement 2.7.2 – Program Content  
                    Comprehensive Standard 3.2.14 – Governance and Administration: Intellectual Property Rights  
                    Comprehensive Standard 3.3.1.3 – Institutional Effectiveness: Academic and Student Support Services  
                    Comprehensive Standard 3.4.1 – Educational Programs: All: Academic Program Approval  
                    Comprehensive Standard 3.4.6 – Educational Programs: All: Practices for Awarding Credit  
                    Comprehensive Standard 3.4.7 – Educational Programs: All: Consortia Relationships/ Contractual Agreements  
                    Comprehensive Standard 3.4.9 – Educational Programs: All: Academic Support Services  
                    Comprehensive Standard 3.4.10 – Educational Programs: All: Responsibility for Curriculum  
                    Comprehensive Standard 3.4.12 – Educational Programs: All: Technology Use |
| **Faculty**       | Core Requirement 2.8 – Faculty  
                    Comprehensive Standard 3.7.1 – Faculty: Faculty Competence  
                    Comprehensive Standard 3.7.2 – Faculty: Faculty Evaluation  
                    Comprehensive Standard 3.7.3 – Faculty: Faculty Development |
| **Institutional Effectiveness** | Core Requirement 2.9 – Learning Resources and Services  
                    Comprehensive Standard 3.3.1.1 – Institutional Effectiveness: Educational Programs |
| **Library and Learning Resources** | Comprehensive Standard 3.8.1 – Library and Other Learning Resources: Learning Information Resources  
                    Comprehensive Standard 3.8.2 – Library and Other Learning Resources: Instruction of library use |
| **Student Services** | Core Requirement 2.9 – Learning Resources and Services  
                    Comprehensive Standard 3.13.3 – Policy Compliance: Complaint Procedures Against the Commission or its Accredited Institutions  
                    Comprehensive Standard 3.4.3 – Educational Programs: All: Admission Policies  
                    Comprehensive Standard 3.9.2 – Student Affairs and Services: Student Records  
                    Federal Requirement 4.5 – Student Complaints  
                    Federal Requirement 4.6 – Recruitment Materials  
                    Federal Requirement 4.8.2 – Written Procedure for Distance and Correspondence Education Student's Privacy  
                    Comprehensive Standard 3.4.12 – Educational Programs: All: Technology Use |
| **Facilities and Finances** | Core Requirement 2.11.1 – Financial Resources  
                    Comprehensive Standard 3.11.3 – Physical Resources: Physical Facilities |

**Sources (In Order of Appearance)**

[URL] UAB Online - Degrees and Certificates  
[PDF] SACSCOC Distance & Correspondence Education Policy Statement
3.13.4.b

Policy Compliance: Reaffirmation of Accreditation and Subsequent Reports

Applicable Policy Statements
If an institution is part of a system or corporate structure, a description of the system operation (or corporate structure) is submitted as part of the Compliance Certification for the decennial review. The description should be designed to help members of the peer review committees understand the mission, governance, and operating procedures of the system and the individual institution’s role with in that system.

Documentation: The institution should provide a description of the system operation and structure or the corporate structure if this applies.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The University of Alabama at Birmingham (UAB) is one of three autonomous universities in the University of Alabama (UA) System, which are governed by the Board of Trustees of the University of Alabama (the Board). The organization of the UA System is described in Article V of the Bylaws of the Board of Trustees. UAB has degree-granting authority through the Board and its underlying constitutional existence, applicable state law, and the Bylaws of the Board of Trustees.

Composition, election, terms of office, status, authority, and functions of the Board are governed by the Constitution of Alabama of 1901, Article XIV, Section 264, as amended by Amendment 399, the Code of Alabama 1975, Sections 16-47-30 to 16-47-37, and the Bylaws of the Board of Trustees, Article I, Sections 1–6. Details of the Board of Trustees and its operations are addressed in Core Requirement 2.2 and Comprehensive Standards 3.2.2.1, 3.2.2.2, 3.2.2.3, 3.2.3, 3.2.4, and 3.2.5.

Lines of authority are demonstrated in the UA System organizational chart, which is shown below:

The UAB President, Dr. Ray L. Watts, reports directly to the Chancellor, Dr. Robert E. Witt, and, through the Chancellor, to the Board. The Bylaws of the Board of Trustees, Article V, Section 2 state that the Chancellor is the chief executive officer of the UA System and exercises such powers as are necessary for its appropriate governance. The Chancellor is the principal link between the Board’s responsibility for policy and each President’s responsibility for operations. The Bylaws of the Board of Trustees, Article V, Section 3, define the authority and duties of the President. The role and responsibilities of the President are addressed in Core Requirement 2.3 and Comprehensive Standards 3.2.7, 3.2.11, and 3.2.12.

Sources (In Order of Appearance)

[PDF] Resolution of Board UAB Autonomous Campus 1969
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 19)
[PDF] Constitution of Alabama 1901, Article XIV, Section 264, as amended by Amendment 399
[PDF] Code of Alabama 1975 Title 16 Chapter 47 Sections 16-47-30 to 16-47-37
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 9)
[PDF] UA System Organizational Chart
[PDF] The Board of Trustees of the University of Alabama Board Manual (Page 21)
3.13.5.a

Policy Compliance: Separate Accreditation for Units of a Member Institution

Applicable Policy Statement.
All branch campuses related to the parent campus through corporate or administrative control (1) include the name of the parent
campus and make it clear that its accreditation is dependent on the continued accreditation of the parent campus and (2) are evaluated
during reviews for institutions seeking candidacy, initial membership, or reaffirmation of accreditation. All other extended units under
the accreditation of the parent campus are also evaluated during such reviews.

Documentation: For institutions with branch campuses: (1) The name of each branch campus must include the name of the parent
campus—the SACSCOC accredited entity. The institution should provide evidence of this for each of its branch campuses. (2) The
institution should incorporate the review of its branch campuses, as well as other extended units under the parent campus, into its
comprehensive self-assessment and its determination of compliance with the standards, and indicate the procedure for doing so.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The University of Alabama at Birmingham does not have any branch campuses. Therefore, this Comprehensive Standard does not apply
to the University.
3.13.5.b

Policy Compliance: Separate Accreditation for Units of a Member Institution

Applicable Policy Statement.
If the Commission on Colleges determines that an extended unit is autonomous to the extent that the control over that unit by the parent or its board is significantly impaired, the Commission may direct that the extended unit seek to become a separately accredited institution. A unit which seeks separate accreditation should bear a different name from that of the parent. A unit which is located in a state or country outside the geographic jurisdiction of the Southern Association of Colleges and Schools and which the Commission determines should be separately accredited or the institution requests to be separately accredited, applies for separate accreditation from the regional accrediting association that accredits colleges in that state or country.

Implementation: If, during its review of the institution, the Commission determines that an extended unit is sufficiently autonomous to the extent that the parent campus has little or no control, the Commission will use this policy to recommend separate accreditation of the extended unit. No response required by the institution.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☑ Not Applicable

Narrative
The University of Alabama at Birmingham does not have an extended autonomous campus or unit. Therefore, this Comprehensive Standard does not apply to the University.
3.14

**Representation of status with the Commission: Publication of accreditation status**
A member or candidate institution represents its accredited status accurately and publishes the name, address, and telephone number of the Commission in accordance with Commission requirements and federal policy.

**Judgment**
- Compliance
- Partial Compliance
- Non-Compliance
- Not Applicable

**Narrative**

The University of Alabama at Birmingham is currently accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). Accordingly, UAB publishes the address and telephone number of the SACSCOC, its primary accreditor, on its website, which can be viewed here (internet access required). In doing so, the University uses the specific language approved by the SACSCOC.

The University posts information in the Accreditation FAQs to communicate the specific language approved by the SACSCOC for use by all units when publishing UAB's accreditation status, including on websites. The University's SACSCOC Liaison monitors compliance with this requirement.

**Sources (In Order of Appearance)**

- [PDF] UAB - SACSCOC Accreditation Statement
- [URL] Accreditation Website
- [PDF] UAB - SACSCOC Accreditation - FAQs
4.1

Student achievement
The institution evaluates success with respect to student achievement consistent with its mission. Criteria may include enrollment data; retention, graduation, course completion, and job placement rates; state licensing examinations; student portfolios; or other means of demonstrating achievement of goals.

Judgment
☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative
The mission of UAB is:

UAB is a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond.

This mission and its associated strategic goals commits the institution to success for all students, both traditional and online. In the process of measuring student achievement, the institution takes into consideration a variety of information. The specific data that are used depend on each program, its individual goals, and specific requirements for employment where appropriate.

Undergraduate Retention and Graduation Rates
UAB is committed to evaluating student achievement. Two of the most visible and significant indicators of undergraduate student achievement are retention and graduation rates. Over the past ten years, retention and graduation rates for undergraduate students at UAB have shown significant and steady improvement. Improvements in these rates are attributable to a number of factors.

As part of a major reorganization of the Office of the Provost in 2010, the position of Vice Provost for Student and Faculty Success was created. This individual began work in January of 2011. One of the top priorities for this position was the implementation of national best practices to improve retention and graduation rates. This Vice Provost created a standing Retention and Graduation Committee made of all of the deans whose schools included undergraduate programs. Other members include the Provost, Vice Provost for Administration and Quality Improvement, Associate Provost for Assessment and Accreditation, Associate Provost for Enrollment Management, a representative from the UAB Faculty Senate, Registrar, Executive Director of Engagement and Retention Initiatives, and Executive Director of Institutional Effectiveness and Analysis. The committee has been meeting monthly since its inception in 2011 to identify and implement national best practices across the institution, including the implementation of a degree audit system, development of advising tools to identify at-risk students, creation of a revised course repeat policy, and opening of the University Academic Success Center to provide tutoring services, supplemental instruction, academic coaching, and study skills workshops. The schools and college are currently developing school-specific retention plans to address specific challenges within their areas and support continuous improvement.

Since 2004, UAB has demonstrated significant improvement in both freshmen retention and graduation rates, as demonstrated in the below graph, which is regularly distributed with projected rates to University and School leadership. (A PDF version of the graph is available here.) During this time frame, the fall-to-spring retention rate has increased by more than four percentage points. Similarly, the fall-to-fall retention rate has increased by almost five percentage points. Graduation rates have also increased impressively during the same period. The four-year graduation rate has increased by 12 percentage points, and the six-year graduation rate has increased by almost 15 percentage points.
Degree Completions

UAB closely tracks degree completions at various levels: bachelor’s, master’s, doctoral (professional practice/other), doctoral (research/scholarship), educational specialist, and certificates. Increases in the total number of degrees awarded demonstrate improvements in student achievement, as reflected in the University goals to support undergraduate and graduate/professional education. UAB degree completions, as well as completions by school and by major, are regularly distributed to University leadership and the schools/college.

Since 2004, the number of degrees that UAB awards annually has increased by over 1,000 to 4,322 degrees. Specifically, bachelor’s and master’s completions have increased by over 400 annually, and both types of doctoral degrees have also increased. These totals include degrees awarded both to traditional and online students.
Tracking of Graduates

Alumni Affairs Alumni Survey
In 2010, the Office of Alumni Affairs asked alumni to complete a brief online survey. One of the questions included on that survey was whether their current position was related to their field of study. Of the 2,139 responses, 53% indicated that the position was in the same field as the major, 26% responded that it was related to the major, and 14% held positions not related to their major. (7% were retired or unemployed.) All alumni, those graduating from both on-campus and online programs, were invited to complete the survey.

Career and Professional Development Graduating Student Survey
The Office of Career and Professional Development (CPD) has developed a survey which asks seniors about employment or graduate school status and participation in co-op, internships, or other experiential learning opportunities. This instrument is administered to all undergraduate students and select master’s students at the time they submit an application for degree, with reminders sent three and six months after graduation. More complete data is obtained with information mined from LinkedIn profiles using InDegree, a company co-founded by a UAB faculty member. The current process of obtaining career information is illustrated in a flow chart. Low response rate is the major challenge in obtaining meaningful data on graduate employment and graduate school placement, which has led UAB to make completion of the survey mandatory to receive a diploma. All graduates, regardless of the format of the program in which they participated, are included in the survey and are encouraged to contact Career and Professional Development for assistance in locating employment.

The results of this survey are distributed to the deans of the respective schools, with the May 2013 reports for the School of Education and School of Engineering provided as examples. These data are increasingly important to programs as part of their specialized accreditation reports. In addition, a booklet was made available to the UAB community presenting the institutional picture, which also included the information mined from LinkedIn profiles.

The Office of Institutional Effectiveness and Analysis is responsible for compiling the survey data and is able to prepare detailed reports by major, school/college, and graduation year, such as the summary of responses from 2011-2012, 2012-2013, and 2013-2014. It should be noted that the 2013-2014 data does not include the responses resulting from the six month reminder. These reports will be converted to online dashboards as part of the ongoing business intelligence initiative.

Results from the last three years show 65.21% of all UAB alumni were either employed or in graduate school within six months of
graduating. Data is available at the program level, with accounting, psychology, biology, and nursing showing an 80.84%, 66.67%, 75.16%, and 59.46% employment/graduate school rates, respectively, for programs with greater than 100 respondents.

Graduate School Exit Survey (D.Sc., D.Sc.P.T., Dr.P.H., Ed.D., and Ph.D.)

The Graduate School has given an exit survey to D.Sc., D.Sc.P.T., Dr.P.H., Ed.D., and Ph.D. students since Fall 2012. The results of this instrument include demographic data, employment data, satisfaction on a variety of issues (1-6 Likert scale), and post-graduation plans. A summary of the Fall 2012-Spring 2014 Graduate School Exit Survey results are included. Several questions are related to "Career Preparation and Next Steps" and are strong indicators of UAB's high student achievement:

30. Adequate preparation for securing employment.

<table>
<thead>
<tr>
<th>Response</th>
<th>Responses</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very Dissatisfied (1)</td>
<td>15</td>
<td>5.2%</td>
</tr>
<tr>
<td>Dissatisfied (2)</td>
<td>13</td>
<td>4.5%</td>
</tr>
<tr>
<td>Somewhat Dissatisfied (3)</td>
<td>22</td>
<td>7.6%</td>
</tr>
<tr>
<td>Somewhat Satisfied (4)</td>
<td>60</td>
<td>20.7%</td>
</tr>
<tr>
<td>Satisfied (5)</td>
<td>106</td>
<td>36.6%</td>
</tr>
<tr>
<td>Very Satisfied (6)</td>
<td>74</td>
<td>25.5%</td>
</tr>
<tr>
<td>Total</td>
<td>290</td>
<td>100.0%</td>
</tr>
<tr>
<td>Score (1-6)</td>
<td>4.56</td>
<td></td>
</tr>
</tbody>
</table>

31. Adequate preparation for continuing education in your academic discipline.

<table>
<thead>
<tr>
<th>Response</th>
<th>Responses</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very Dissatisfied (1)</td>
<td>7</td>
<td>2.4%</td>
</tr>
<tr>
<td>Dissatisfied (2)</td>
<td>8</td>
<td>2.8%</td>
</tr>
<tr>
<td>Somewhat Dissatisfied (3)</td>
<td>11</td>
<td>3.8%</td>
</tr>
<tr>
<td>Somewhat Satisfied (4)</td>
<td>41</td>
<td>14.3%</td>
</tr>
<tr>
<td>Satisfied (5)</td>
<td>140</td>
<td>48.8%</td>
</tr>
<tr>
<td>Very Satisfied (6)</td>
<td>80</td>
<td>27.9%</td>
</tr>
<tr>
<td>Total</td>
<td>287</td>
<td>100.0%</td>
</tr>
<tr>
<td>Score (1-6)</td>
<td>4.88</td>
<td></td>
</tr>
</tbody>
</table>

45. What are your immediate graduation plans? (Students could select more than one response, so the total is greater than 100%. 288 students responded an average 1.6 times.)

<table>
<thead>
<tr>
<th>Immediate Graduation Plans</th>
<th>Responses</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuing education</td>
<td>25</td>
<td>8.7%</td>
</tr>
<tr>
<td>Faculty position at a college or university</td>
<td>65</td>
<td>22.6%</td>
</tr>
<tr>
<td>Research position at a college or university</td>
<td>41</td>
<td>14.2%</td>
</tr>
<tr>
<td>Other position at a college or university</td>
<td>13</td>
<td>4.5%</td>
</tr>
<tr>
<td>Teaching position outside of college or university</td>
<td>15</td>
<td>5.2%</td>
</tr>
<tr>
<td>Postdoctoral fellowship/traineeship</td>
<td>134</td>
<td>46.5%</td>
</tr>
<tr>
<td>Position in a Non-Governmental organization (NGO)</td>
<td>12</td>
<td>4.2%</td>
</tr>
<tr>
<td>Research position at a research institute</td>
<td>27</td>
<td>9.4%</td>
</tr>
<tr>
<td>Research position in business or industry</td>
<td>31</td>
<td>10.8%</td>
</tr>
<tr>
<td>Position (other than research) in business or industry</td>
<td>20</td>
<td>6.9%</td>
</tr>
<tr>
<td>Government position</td>
<td>26</td>
<td>9.0%</td>
</tr>
<tr>
<td>Self employment</td>
<td>9</td>
<td>3.1%</td>
</tr>
<tr>
<td>Other</td>
<td>15</td>
<td>5.2%</td>
</tr>
<tr>
<td>Undecided</td>
<td>28</td>
<td>9.7%</td>
</tr>
</tbody>
</table>

46. Will your post-graduation plans be directly related to your degree training?

<table>
<thead>
<tr>
<th>Response</th>
<th>Responses</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>24</td>
<td>8.2%</td>
</tr>
<tr>
<td>Not Sure</td>
<td>28</td>
<td>9.6%</td>
</tr>
<tr>
<td>Yes</td>
<td>239</td>
<td>82.1%</td>
</tr>
<tr>
<td>Total</td>
<td>291</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

The Graduate School Exit Survey demonstrates that the recipients of D.Sc., D.Sc.P.T., Dr.P.H., Ed.D., and Ph.D. degrees are employed or are seeking employment in the discipline of their training at a wide variety of employers. They feel prepared for both continuing their education and securing employment.

Health Science Doctoral Fellowship Review

Programs receiving funds for graduate fellowships in the health science doctoral programs are required to provide information on their graduates, including completion rates, average time to degree, and employment information. Placement data is gathered and recorded in the Graduate Biomedical Sciences training grant database and used also for training grant applications.

Once the information is provided by each program, it is reviewed by a group of appropriately qualified individuals. The review team is comprised of associate dean-level faculty from each of the schools in which the various programs are based, as well as Senior Associate Dean Susan Rich and Graduate School Dean Bryan Noe. None of these individuals actively participate in a doctoral degree program, so
the group consistently provides impartial evaluations. All applications are scored by each review group member, and the scores are averaged. Allocations made each year are based on the scores that each program receives (i.e., programs with higher scores are considered more favorably than those with lower scores). When the actual allocation letters are sent out to the program directors, they are accompanied by spreadsheets that contain the detail on the scoring for the specific program being referenced with a comparison to the overall average score on each evaluation parameter for all programs. This process identifies the parameters in which a program fell below the mean and provide an incentive to develop mechanisms for improvement in future years.

**Certification/Licensure Pass Rates**

Many of the programs offered at UAB lead to some type of certification or licensure. A table providing the most current pass rates on these examinations summarizes that information. Certification/licensure examinations are often used as direct measures of learning outcomes in programs preparing students for professional practice. These results also are used in strengthening curricula. In Nursing, performance of B.S.N. students on the National Council Licensing Examination (NCLEX) is analyzed on an ongoing basis (BSN Detailed Assessment report). In response:

- Three Teaching Assistants were added to assist students in courses that traditionally are difficult: Pathophysiology, Foundations of Nursing, and Adult Nursing (2008-2009)
- Changes were made to capstone course/simulation experiences (2010-2011).
- Review of B.S.N. admission criteria and process (2012-2013)
- New curriculum implemented (2013-2014)

For example, the School of Medicine (MD Detailed Assessment report) reviews its students’ performances each year and identifies potential deficiencies, with a detailed examination of curricula for gaps and redundancies based on National Board of Medical Examiners USMLE Step 1 and Step 2 performance.

All certification and licensure rates include students graduating from both on-campus and online programs.

**Sources** (In Order of Appearance)

| [PDF] Baccalaureate-Seeking Freshmen Retention-Graduation Rates |
| [PDF] Degrees Awarded |
| [PDF] Degrees Awarded By School |
| [PDF] Degrees Awarded By Major |
| [PDF] Alumni Affairs Survey Results |
| [PDF] CPD Graduating Student Survey |
| [PDF] InDegree |
| [PDF] CPD Career Information Flow Chart |
| [PDF] CPD Graduating Student Survey Results (May 2013, School of Education) |
| [PDF] CPD Graduating Student Survey Results (May 2013, School of Engineering) |
| [PDF] CPD Graduating Student Survey Booklet (2012-2013) |
| [PDF] CPD Graduating Student Survey Outcomes |
| [PDF] Graduate School Doctoral Exit Survey |
| [PDF] Graduate School Doctoral Exit Survey (Page 19) |
| [PDF] GSF Allocation Instructions |
| [PDF] Professional Exam-Licensure Data |
| [PDF] UAB BSN Detailed Assessment Report |
| [PDF] UAB MD Detailed Assessment Report |
4.2

Program curriculum
The institution’s curriculum is directly related and appropriate to the mission and goals of the institution and the diplomas, certificates, or degrees awarded.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative
The University of Alabama at Birmingham offers an array of graduate and undergraduate degrees that are consistent with its vision and mission:

Vision:
To be “an internationally renowned research university — a first choice for education and health care”

Mission:
To be a “research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond.”

To fulfill that mission, UAB offers degrees at the graduate and undergraduate in the arts and humanities, natural sciences, social sciences, business, dentistry, education, engineering, health professions, joint health sciences, nursing, optometry, public health, and including D.M.D., M.D., and O.D. degrees, as shown in the UAB Degree Program Inventory. The curricula of these degree programs has been developed by faculty in the disciplines, approved through faculty governance, and published in the catalogs and professional program websites.

Faculty review the contents of their curricula to ensure that the academic programs embody an appropriate, timely, and coherent program of study are discussed in Core Requirement 2.7.2 and Comprehensive Standard 3.4.10. All program-related initiatives are developed within a school/college or department and undergo curricular review by that school/college (Comprehensive Standard 3.4.1). Once approved by the appropriate department chair and dean, undergraduate items are forwarded to the Vice Provost for Student and Faculty Success who transmits them to the Academic Program Review Council (APRC), the subcommittee of the Faculty Senate charged with overseeing review of undergraduate program issues and making recommendations to the Provost. Graduate program initiatives that have been approved by the appropriate department and school/college-level administrators are forwarded to the Dean of the Graduate School who ensures they are placed on the agenda of the Graduate Council Advisory Committee (ADCOM) that includes faculty representation from each UAB school and college. After review and approval by the APC or ADCOM, program-related items are sent to the Provost for review and then to the President for final internal approval. At all stages of this process, consideration is given to how proposed programs (or aspects of programs) fit within the broad academic plan for UAB and how they support the institutional mission. Student attainment of program-defined learning outcomes (Comprehensive Standard 3.3.1.1) is key feedback to faculty on instructional effectiveness at all degree levels.

At the undergraduate level, students are required to complete general education requirements (see response to Core Requirement 2.7.3), as well as courses in their major (see Comprehensive Standard 3.5.3). The general education component consisting of written composition, humanities and fine arts, natural sciences and mathematics, and history, social, and behavioral sciences assures breadth of knowledge. General education competencies are defined and the degree to which they are attained measured (Comprehensive Standard 3.5.1). The 2014-2015 Undergraduate Catalog provides information on degree programs offered, course descriptions, and specific requirements for all undergraduate programs.

At the graduate level, programs as part of schools/college and the Graduate School develop relevant courses and requirements (Comprehensive Standard 3.6.2). Requirements of all graduate degrees and post-baccalaureate professional degrees (with the exception of D.M.D., M.D., and O.D.) are published in the 2014-2015 Graduate Catalog and on program-specific websites (e.g., degree programs in Vision Science, Graduate Biomedical Sciences, Master of Science in Computer and Information Sciences, Ph.D. in Applied Mathematics). Additional information on graduate requirements are contained in the 2014-2015 Graduate Student Handbook.

Program requirements for the professional degrees of D.M.D. (curriculum, other requirements), M.D., and O.D. (curriculum, other requirements) are maintained on the respective School websites.

Sources (In Order of Appearance)

[PDF] UAB Strategic Planning - Vision and Mission
[PDF] Degree Program Inventory
[PDF] 2014-2015 Undergraduate Catalog
[PDF] 2014-2015 Graduate Catalog
[PDF] Degree programs in Vision Science
[PDF] Graduate Biomedical Sciences Cancer Biology Theme
4.3

Publication of policies
The institution makes available to students and the public current academic calendars, grading policies, and refund policies.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative
UAB makes information about current academic calendars, grading policies, and refund policies widely available to students and the public through various means.

Academic Calendars
The UAB academic calendar is published online on the UAB Students website (internet access required). A screenshot showing the link to the academic calendar from the website that is accessed from uab.edu by selecting "Students" and "Academics" demonstrates easy access to the calendar. The 2014-2015 Academic Calendar from this website is provided. The current academic year, the next academic year, and the previous seven academic terms are posted. Registration periods, payment deadlines, holidays, weather makeup days, and withdrawal dates are included. This information is applicable to all students (except those in professional schools noted below), regardless of course mode of delivery.

The Professional Schools have academic calendars which are distinct from the University calendar. These are published on their respective school websites.

Grading Policies
UAB publishes its grading policies and practices for undergraduate programs in the 2014-2015 Undergraduate Catalog. Grading policies for graduate programs are included in the 2014-2015 Graduate Student Handbook.

The Professional Schools publish their grading policies on their school websites.

Refund Policies
The institutional refund policy states:

Generally, students will not be charged tuition and fees for classes officially dropped prior to the published drop deadline each term. All tuition and fee payments may be refunded for the credit hours and fees associated with each class dropped before or during this period. The deadline for dropping classes without incurring charges is published each term in the UAB Academic calendar. Students who completely withdraw from school on or after the first day of the term will be charged a $30.00 withdrawal fee.

Any credit balance resulting from a change in course load during the first drop/add period will be distributed in accordance with the Order of Return of Title IV Funds Policy.

The refund policy is published in the 2014-2015 UAB Undergraduate Catalog and 2014-2015 Graduate Catalog. It is also posted on multiple UAB websites, including the UAB Policies and Procedures Library (internet accessible here) and the Financial Affairs website (internet accessible here). The Institutional Refund Policy applies to all undergraduate, graduate, and School of Medicine students.

In the Schools of Dentistry and Optometry, tuition for the term will be refunded if withdrawal occurs prior to the second week of a term. Fifty percent of tuition will be refunded if withdrawal occurs between week two and week four of the term. No refund of tuition will be made for withdrawals after the fourth week of a term. This policy is published in the School of Dentistry Academic Guidelines (internet accessible here) and the School of Optometry Student Handbook (internet accessible here), both of which are readily available on the respective School’s website.
Online/Distance Students

Online/distance students have access to catalogs. In addition, UAB Online (internet access required) includes links to the calendar and refund policy on their homepage.

Sources (In Order of Appearance)

[URL] UAB Academic Calendar
[PDF] Access to UAB Academic Calendar
[PDF] UAB Academic Calendar
[URL] School of Dentistry Academic Calendar
[PDF] School of Dentistry Academic Calendar 2014-2015
[URL] School of Medicine Academic Calendar
[PDF] School of Medicine Academic Calendar 2014-2015
[URL] School of Optometry Academic Calendar
[PDF] School of Optometry Academic Calendar 2014-2015
[PDF] 2014-2015 Undergraduate Catalog (Page 61)
[URL] School of Dentistry Academic Policies
[PDF] School of Dentistry Academic Guidelines (Page 4)
[URL] School of Medicine Grading
[PDF] School of Medicine Grading Policies & Procedures
[URL] School of Optometry Student Handbook
[PDF] School of Optometry Student Handbook (Page 18)
[PDF] 2014-2014 Undergraduate Catalog (Page 35)
[PDF] 2014-2015 Graduate Catalog (Page 20)
[PDF] Policies & Procedures Library - Institutional Refund Policy
[URL] Policies and Procedures Library - Refund Policy
[PDF] Financial Affairs - Student Refunds
[URL] Financial Affairs - Refund Policy
[PDF] School of Dentistry Academic Guidelines (Page 8)
[PDF] School of Optometry Student Handbook (Page 16)
[URL] UAB Online
Program length
Program length is appropriate for each of the institution’s educational programs.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative
The institution determines program length using definitions common to institutions of higher education. Faculty are responsible for determining appropriate program length when a new program is developed. The new program approval process also involves review by institutional leadership, the University of Alabama System Board of Trustees, and the Alabama Commission on Higher Education (the state coordinating agency). The number of hours required for completion of the degree is reviewed at each point.

Definitions
UAB follows the Operational Definitions of the Alabama Commission on Higher Education (ACHE) which are based on federal definitions of the Integrated Postsecondary Education Data System (IPEDS).

- Certificate: A formal award certifying the satisfactory completion of a prescribed program of study. The certificate is less than a degree, and its curriculum in many instances is related to the student’s employment or professional advancement.
- Bachelor’s Degree: An undergraduate award that normally requires the completion of at least four but no more than five academic years of full-time equivalent college work. Also includes accelerated bachelor’s degrees which are completed in three calendar years.
- Master’s Degree: A graduate level award that requires the completion of a program of study at least the full-time equivalent of one but usually not more than two academic years of work beyond the bachelor’s degree.
- Educational Specialist: A graduate level award that requires completion of an organized program of study consisting of the full-time equivalent of one academic year of work beyond the master’s degree, but does not meet the requirements of academic degrees at the doctoral level.

While not yet included in ACHE’s Operational Definitions, the Commission has adopted the new categories of doctoral degrees as outlined by IPEDS.

- Doctor’s Degree – Research/Scholarship: A Ph.D. or other doctor’s degree that requires advanced work beyond the master’s level, including the preparation and defense of a dissertation based on original research, or the planning and execution of an original project demonstrating substantial artistic or scholarly achievement. (At UAB, this category includes the Ph.D. degree.)
- Doctor’s Degree – Professional Practice: A doctor’s degree that is conferred upon completion of a program providing the knowledge and skills for the recognition, credential, or license required for professional practice. The degree is awarded after a period of study such that the total time to the degree, including both pre-professional and professional preparation, equals at least six full-time equivalent academic years. (At UAB, this category includes the Ed.D., D.M.D., D.N.P., D.P.T., Dr.P.H., M.D., and O.D. degrees.)
- Doctor’s Degree – Other: A doctor’s degree that does not meet the definition of a doctor’s degree – research/scholarship or a doctor’s degree – professional practice. (At UAB, this category includes the D.Sc. degree.)

Program Length
Program lengths for online programs are the same as for those offered in traditional format. Most programs offered online were offered in traditional format prior to availability online and correspond to the on-campus program.

Baccalaureate Level
Degree requirements, stated in the 2014-2015 Undergraduate Catalog, include completion of a minimum of 120 semester hours of appropriately distributed courses. Forty-one hours are taken to satisfy Core Curriculum requirements (6 credit hours of Written Composition, 12 hours of Humanities and Fine Arts, 11 hours of Natural Sciences and Mathematics, and 12 hours of History, Social and Behavioral Sciences). The remaining coursework for degree completion is specific to each program. Degree requirements specific to each undergraduate program are also identified in the Catalog. For example, the requirements for Bachelor’s degrees in Anthropology, Biology, Psychology, Accounting (online and traditional formats), Biomedical Engineering, Medical Technology, Nursing, and Public Health are described in the Catalog.

The Catalog data has been extracted and compiled in the Degree Program Inventory, which shows the minimum credit hour requirements for each program. It should be noted that actual credit hours may vary due to student-selected minors, concentrations, and other course variations. In all cases, undergraduate degree programs are 120 semester credit hours or more. Programs requiring more than 120 credit hours are typically accredited or have significant other professional requirements.

Graduate and Professional Level
The length of graduate programs offering master’s degrees varies by discipline but all require at least the equivalent of one academic year of full-time enrollment (a minimum of 30 semester hours, stated in the Graduate Student Handbook). UAB’s Graduate School has minimum residency and credit hour requirements for granting the doctoral degree also. The length of doctoral programs also varies by discipline both in full-time equivalent credit hours and in time. This variation is a function of the number of courses required, time needed to complete the research, and clinical/practicum/internship requirements. In general, students can expect to complete a
The development of new academic programs (majors, concentrations or tracks within majors, certificates) at UAB involves multiples levels of review and approval, both internally and externally. Program development is the responsibility of the faculty at UAB.

Internal Review
All program-related initiatives are developed within a school/college or department and undergo curricular review by that school/college. Once approved by the appropriate department chair and dean, undergraduate items are forwarded to the Vice Provost for Student and Faculty Success who transmits them to the Academic Program Review Council (APRC), the subcommittee of the Faculty Senate charged with overseeing review of undergraduate program issues and making recommendations to the Provost. Graduate program initiatives that have been approved by the appropriate department and school/college-level administrators are forwarded to the Dean of the Graduate School who ensures they are placed on the agenda of the Graduate Council Advisory Committee (ADCOM) that includes faculty representation from each UAB school and college. After review and approval by the APRC or ADCOM, program-related items are sent to the Provost for review and then to the President for final internal approval. At all stages of this process, consideration is given to how proposed programs (or aspects of programs) fit within the broad academic plan for UAB and how they support the institutional mission. Proposals for new baccalaureate degree programs in Biomedical Sciences, Musical Theatre, and Public Health and graduate degree programs in Biotechnology, Management Information Systems, and Rehabilitation Science include information on program length.

External Review
Program proposals approved by the UAB President are submitted to the Chancellor of the University of Alabama System for consideration by the Academic Affairs, Student Affairs, and Planning Committee of the Board of Trustees of the University of Alabama and the Board as a whole. Items approved by the Board of Trustees are transmitted to the Alabama Commission on Higher Education (ACHE), the coordinating agency for higher education in the state of Alabama, for review and approval.

Key concepts that must be addressed in the proposal materials include demand for the program, need for the program (societal, academic, professional), physical and financial resources required, relationship to other programs at UAB and within the state, duplication, and intended student learning outcomes. In addition, proposals for full degree programs must include specific budget details and projections for headcount and FTE enrollment and degree completions. The ACHE proposal formats for undergraduate and graduate degree programs guide the development process and include the requisite number of hours to complete the degree. Thus, program length is an inherent consideration in the external review process. ACHE Recommendations for undergraduate degrees in Biomedical Science, Musical Theatre, and Public Health and graduate degrees in Biotechnology, Management Information Systems, and Rehabilitation Science demonstrate additional review of program length.

Sources (In Order of Appearance)

[PDF] ACHE Operational Definitions
[PDF] 2014-2014 Undergraduate Catalog (Page 69)
[PDF] 2014-2014 Undergraduate Catalog (Page 294)
[PDF] 2014-2014 Undergraduate Catalog (Page 97)
[PDF] 2014-2014 Undergraduate Catalog (Page 112)
[PDF] 2014-2014 Undergraduate Catalog (Page 190)
[PDF] 2014-2014 Undergraduate Catalog (Page 239)
[PDF] 2014-2014 Undergraduate Catalog (Page 262)
[PDF] 2014-2014 Undergraduate Catalog (Page 276)
[PDF] 2014-2014 Undergraduate Catalog (Page 284)
[PDF] 2014-2014 Undergraduate Catalog (Page 291)
[PDF] Degree Program Inventory
[PDF] 2014-2015 Graduate Catalog (Page 36)
[PDF] 2014-2015 Graduate Catalog (Page 81)
[PDF] 2014-2015 Graduate Catalog (Page 107)
[PDF] 2014-2015 Graduate Catalog (Page 114)
[PDF] 2014-2015 Graduate Catalog (Page 137)
**Student complaints**

The institution has adequate procedures for addressing written student complaints and is responsible for demonstrating that it follows those procedures when resolving student complaints. *(See the Commission policy "Complaint Procedures against the Commission or its Accredited Institutions.")*

**Judgment**

- [x] Compliance
- [ ] Partial Compliance
- [ ] Non-Compliance
- [ ] Not Applicable

**Narrative**

UAB has adequate procedures for addressing written student complaints. It has complaint policies and procedures for five different categories of complaints:

1. General Student Complaints
2. Academic Complaints/Grievances
3. School of Medicine Student Complaints
4. Ethical Complaints
5. Equity/Diversity Complaints

Comprehensive Standard 3.13.3 separately provides the following details for each category:

1. a brief description of the complaint category
2. the related policy
3. individuals/offices responsible for the maintenance of the record(s)
4. elements of a complaint review that are included in the record
5. where the record(s) is located (centralized or decentralized)

The below narrative demonstrates that the institution has reasonable policies and procedures for resolving student complaints, that these policies and procedures are well-publicized, and that the institution follows these procedures when resolving student complaints.

**General Student Complaints**

The Student Complaint Policy addresses the requirements for students to file official written complaints. It is available in the web-based UAB Policies and Procedures Library (internet access required), as well as the UAB Students website (internet access required):

"UAB is committed to reviewing and responding to student complaints appropriately. A complaint is an expression of discontent based on the result of behavior or circumstances that the student believes are unjust, unsafe, inequitable, or create an unnecessary hardship. Students who attempt to resolve issues directly with the appropriate parties and are not satisfied may file formal written complaints through BlazerNET. Complaints should include any involved parties so that UAB can fully investigate the concern. One Stop Student Services receives complaints submitted through BlazerNET, directs them to appropriate campus offices (when necessary), and ensures that students receive feedback. Students may not make anonymous complaints in BlazerNET, nor may they make complaints on behalf of other individuals."

UAB follows these procedures for responding to and resolving complaints:

1. Students submit formal complaints using an online form in BlazerNET (the student portal), including involved parties and other relevant information. Students who wish to discuss a potential complaint in more detail may contact One Stop Student Services directly.
2. A senior staff member of the One Stop will acknowledge receipt and consult with the student to verify the information submitted is accurate and complete.
3. The One Stop staff member will consult the appropriate person(s) in the department/office that most closely relates to the complaint.
4. One Stop Student Services will work with the department/office to ensure that the complaint is researched and responded to in a reasonable timeframe, preferably within ten (10) business days. The One Stop staff member will periodically update the student on the status of the complaint. If the primary department/office does not respond directly to the student, the One Stop staff member will communicate the resolution to the student.
5. The One Stop staff member will acknowledge that the complaint has been resolved, document it accordingly, and close the issue.

To submit official written complaints, students utilize BlazerNET, available at www.uab.edu/blazernet and from most UAB webpages. Students use their UAB username and password to log in to BlazerNET and access the complaint system. The complaint form is dynamic; it presents and collects the appropriate information, based on the type of complaint the student wishes to submit.

The Student Complaint policy and procedures are well-publicized. Both are available on the UAB Students website and within the Complaint System in BlazerNET. In addition, all enrolled students, including online students receive an e-mail reminder each semester about the online complaint system.

The following example highlights the manner in which UAB adheres to its policies and procedures when responding to student complaints within this system:
1. A student submitted the following complaint via the online system:
   - "I am a graduate student at UAB and absolutely love it. The amount of collaboration, core facilities, and amazing professors make it a great research institute. I do have one complaint though that many people are feeling on this side of campus. I know this really isn't going to accomplish much, but I feel that someone needs to know. We saw the HUC get a very expensive renovation about a year ago and then it was torn down these past few months to build a brand new student center. On this side of campus P.I.s are feeling the pressure of NIH funding cuts and many labs are closing down. It feels wasteful to tear down a perfectly fine operational building when so many professors are struggling and could use that money to further advance science. After all, these professors are the ones that bring in the big funding dollars. Also, the building I work in (MCLM on the top floor), is failing apart all around us. The wall paper is peeling off the walls, the toilets barely flush, the sinks constantly drip water, and worst of all every time it rains, it rains inside the building. I can't keep papers on my desk and I can't leave science equipment on there either because one rainstorm and it will all be ruined. The solution that UAB has is to put a trash can in the hall to catch the rain. This has been going on for over 12 years. Anyway, I just wanted to let someone know how people on this side of campus are feeling. Thanks for your time."

2. A counselor in One Stop Student Services contacted the student to confirm receipt of the complaint and to inform the student that the complaint had been passed along to the appropriate personnel in the School of Medicine.

3. After receiving updates from the School of Medicine, the One Stop Student Services counselor notified the student that personnel had completed a walkthrough of the spaces he referenced and desired to tour the spaces with him.

4. One Stop Student Services received an additional update from the School of Medicine, including verification that the complaint had been resolved. The counselor entered the following note:
   - "Staff members from the School of Medicine walked the facility that [student name redacted] had complaints about and addressed each one individually with him. They noticed that some repairs had been made but they were also going to address some other structural issues with Campus Maintenance to see if they can be fixed. Closing the issue."

**Academic Complaints/Grievances**

UAB maintains reasonable policies and procedures related to academic complaints. This information is well-publicized in the Undergraduate Catalog and Graduate Student Handbook.

- **Undergraduate Catalog**: "Judgments on academic matters are most appropriately made by individuals with expertise in the particular academic discipline involved. For this reason, complaints by students on academic matters are the responsibility of the department and school involved. Normally, such complaints can be resolved quickly through discussion with the faculty directly involved. In rare situations where such resolution does not occur, the student should contact the chair of the appropriate academic department to file a formal grievance. The student’s grievance should be submitted in writing and accompanied by any appropriate documentation. Grievances should be submitted at the earliest possible time. Consideration will not be given to any grievance submitted later than the end of the term immediately following the term in which the matter in question arose. The department should acknowledge the date the grievance is received and provide notice to the student of when an answer may be expected. It is the responsibility of the department chair to provide an answer to the student within 10 working days. If the matter cannot be settled within the department, the student has 10 working days from the day the department’s response is received to appeal to the dean of the school in which the department is located. The dean should acknowledge receipt of the student’s appeal and inform the student of the course of action within 10 working days of the date the appeal is received in the dean’s office. At the dean’s discretion, an advisory panel may be appointed to study the disagreement and make a recommendation to the dean. However, it is the responsibility and prerogative of the dean alone to make, in a timely manner, a decision on any academic disputes which have not been resolved at lower levels, and the decision of the dean is final."

- **Graduate Student Handbook**: "Although rare, disagreements can arise that may affect a student’s progress towards the completion of the degree. The parties involved in such a dispute should make a good faith effort to discuss and resolve the disagreement. The following guidelines may be helpful.

Step 1. Identify the problem; clearly define what happened and what you perceive is needed to resolve the issue.

Step 2. Approach the other person or group involved with the dispute one-on-one. Set up a mutually agreeable time to talk; listen and ask to be listened to; use “I” statements when speaking; avoid assigning blame or leveling accusations.

Step 3. If these steps do not culminate in a resolution, the parties involved with the dispute should agree to approach an impartial third party, a mediator, who will respect confidentiality and with whom the situation can be discussed. The Program Director will suggest such a third party if asked. The mediator may be able to help the parties involved reach a resolution.

Step 4. If no resolution is found then you may submit the disagreement to the Graduate Program for arbitration.

Step 5. To department Chair for final review of arbitration before proceeding to Appeals Board.

If a party involved in the dispute is not satisfied with the outcome of the arbitration process, an appeal may be submitted to the Graduate School Appeals Board. Please see the Graduate Student Handbook, Graduate School Appeals Board for specific information about the appeals process."

The following example, from a log in the School of Health Professions, highlights the ways in which UAB adheres to its policies and procedures in responding to academic complaints from students. This complaint originated from a graduate student:

**Description of complaint:**

"A student challenged the validity of a course test because she stated that program students had access to a "drop box" that allegedly contained materials covering test content. Of note, this student also had access to the drop box, but stated that she did
not access the files. She believed other students’ exam grades were higher than hers because they accessed the drop box documents.

The student continued to complain about “unfair” advantage for students who had taken documents from the box even after it was removed and the subsequent program course tests were changed. The student grieved the final grade she received in the course as “unfair” based on others having “unfair advantage.”

Resolution:
"The students were instructed to delete the drop box as soon as the faculty became aware of its existence and box sponsors reported compliance. With only the charge by one student and no direct evidence that any or all other students had used materials to test advantage, no direct charges were made. However, all students in the program were advised of academic misconduct and presented with a letter stating that any misconduct that occurred in the future would result in program dismissal. Faculty were instructed to create new tests in program courses going forward. The Associate Dean met with the grieving student and described the actions taken. The program director verified all course grade calculations and upheld the grade the student earned."

The student complaint followed the appropriate procedures, including review by the faculty member, program director, and chair. The student considered the complaint to be resolved after meeting with the associate dean; the student did not pursue an additional appeal through the Graduate School Appeals Board.

**School of Medicine Student Complaints**

While all students, including undergraduate, graduate, and professional students, have access to the general UAB complaint system and process, the School of Medicine has developed a specialized online system to route complaints and compliments from its students to the appropriate representatives.

The School of Medicine Policy for a Healthy Learner Environment and Learner Mistreatment provides key expectations for the learning environment and professional behavior within the School of Medicine, as well as appropriate procedures for investigating reports related to this policy. Internally, the School of Medicine adheres to the following procedures, as maintained by the Assistant Dean for Students in the School of Medicine, for responding to student reports within "Report It" (internet access required), the online system that allows students to submit complaints.

- View and address all reports promptly. (24-48 hours)
- Regard the report as confidential unless there appears to be an urgent matter of safety involved.
- Threats of harm to self of others. (contact Medical Education Information Services (MEIS) and request identity of reporter)
- Repeated reports of similar event may be investigated by asking MEIS "I do not wish to know who these reports came from... I would like to confirm that they were submitted by different authenticated users."
- If the report names the person reviewing the report as part of the report, it should immediately be forwarded to other administrators (listed above) without further action by the designated recipient.
- Consider severity and veracity of the matter reported. Reports should be viewed as uncorroborated and almost certainly require further investigation to corroborate, mollify, or discredit before any corrective action is taken.
- Respond to the reporter whenever identified with a note of appreciation and updates about the status as appropriate.
- Forward or address the report as appropriate. (examples, not exhaustive list)
- Keep on file
- Initiate further investigation
- Forward to appropriate authorities / entities
- Consult with others
- Contact the person identified in the report (this should be routinely done with commendations)
- Update the on-line database with the disposition of the incident. The details of the disposition should be kept in the personal files of the administrator addressing the report.

The Policy for a Healthy Learner Environment and Learner Mistreatment and associated procedures are well-publicized. All medical students are given a card to carry or wear with their ID card at all times; it includes critical information for students, including a link to the "Report It" system. Multiple websites that current students visit most frequently are branded with the "Report It" icon, which links to the system. In addition, during orientation, students are instructed that "Report It" is their method to raise concerns, complaints, or commendations related to the conduct of a peer, the conduct of a faculty member or medical resident, a facility, about their education, or "anything else."

The following example highlights the manner in which the School of Medicine adheres to its policies and procedures when responding to student complaints within this system:

1. A student submitted the following complaint via the online "Report It" system in the "Anything Else" category:
   - "I am concerned about tour guides during interview days. It bothers me to not see these students in relatively professional dress. It is not a good representation of our school, profession, or the general conduct used when you are trying to recruit the next generation of physicians. I have seen people in Tie dye shirts, gym shorts, etc. I feel that these students should be in more professional dress, even ICM dress, especially when people interviewing are in suits. This is not a good way to show off our school, nor is it a good way to present yourself in the hospital. Being seen in the hospital like this with a bunch of students is a huge concern too, because we are in constant eyesight of patients, and physicians. This is not representative of the school I attend, nor my passion, and love of this school."

2. It was submitted anonymously, so the individual student could not be contacted.
3. The administrator who received the report forwarded the complaint to the Admissions staff for consideration.
4. The administrator updated the "Report It" system with a "Referred to Admissions staff" disposition.

**Ethical Complaints**
The University Enterprise Code of Conduct policy details expectations about ethical behavior at UAB. It also establishes the expectation that UAB community members, including students, raise compliance questions or concerns and that UAB prohibits retaliation against community members raising such questions or concerns in good faith. Students may submit ethical complaints via the Ethics Hotline (internet access required), which provides reporting options via phone or online. On its website, the Ethics Hotline has clearly outlined procedures for reviewing reports:

1. When a report is received by UAB, a case manager from either the Office of General Counsel, Office of Internal Audit, or University Compliance Office is assigned to the report. The case manager reviews the facts. In some cases, the individual's concerns can be addressed by referring him or her to applicable laws, regulations, grant requirements, or university policies and, as such, will not warrant further investigation.

2. If the fact-finding process reveals there is sufficient information to proceed with an ethics review, the case manager then assigns the report to a lead reviewer within the appropriate functional area. The functional area to which the matter is assigned is based on location and type of the incident reported. Functional areas include: Human Resources, Office of the Provost, Financial Affairs, Research, and Student Affairs, as well as the University Compliance Office and the compliance offices within the UAB health-related entities. Most issues relating to faculty are assigned to the Office of the Provost.

3. The lead reviewer notifies and interviews the appropriate persons who are in positions to be knowledgeable about the issue.

4. Once the ethics review is complete, the lead reviewer presents the findings to the case manager. Outcomes of the review may include no required action, disciplinary action, training, and/or other actions. The case manager and lead reviewer ensure that any recommended actions are implemented.

The policy and its associated procedures are well-publicized on the University Compliance website (internet access required), the Ethics Matters website, and the web-based UAB Policies & Procedures Library.

At times, individuals making reports may feel anonymity is necessary, and the UAB Ethics Hotline offers them the option of bringing forth a good faith concern they feel needs to be addressed by the organization while withholding their identity. Consequently, it is often difficult or impossible to determine whether the individual raising a concern is a student, faculty, employee, customer, patient, etc. The following example highlights the manner in which UAB adheres to its policies and procedures when responding to student complaints within this system:

1. A student raised a concern about a fellow student’s educational privacy to school leadership, the Research Integrity Office, the Registrar’s Office, and the University Compliance Office. Subsequently, the student provided additional information about the concern via the UAB Ethics Hotline. The student called the 800 number and entered the information online through The Network, the third-party vendor supporting the UAB Ethics Hotline:

   "Caller [student's name] reported that on 10/03/2012, during a Wimba Chat of [course name] Doctor, [instructor name], discussed Student, name DECLINED’s [fellow student’s name], work without permission..."

2. The University Compliance Office received the information from the hotline, and the University Compliance Officer became the case manager.

3. Because multiple offices were contacted simultaneously by the student about the same matter, the University Compliance Officer coordinated information gathering, review, and response. School leadership, research administration, and the Registrar spoke to persons in positions to be knowledgeable about the facts of the case (instructors, students, others) and determined the concern was unsubstantiated because the fellow student had given permission for elements of her work to be used as a teaching example in the electronic classroom.

4. In turn, the reviewers informed the case manager, who ensured that the concern was addressed and the student was informed of the result.

5. Broad descriptions of the review and resolution were entered in the tracking system for recordkeeping and later reporting.

**Equity/Diversity Complaints**

The Equal Opportunity and Discriminatory Harassment Policy provides details about the prohibition of discriminatory harassment of any kind. The policy includes procedures for responding to formal written complaints:

"To the extent possible, all complaints will be handled confidentially and addressed in accordance with UAB policy. The complaints will be referred to the appropriate area for review and investigations will be conducted in a timely manner. In instances where staff, faculty and student issues overlap, the areas listed above will confer and/or work collaboratively to resolve the issue."

This policy and procedure is well-publicized on the public-facing UAB Policies and Procedures Library website. An official complaint form is available on the Office for Equity and Diversity website (internet access required).

The Office of the Vice President for Equity and Diversity oversees the resolution of formal complaints related to equity and diversity issues. The Vice President for Equity and Diversity maintains the following detailed procedures for responding to complaints:

**Procedures:**

1. After receipt of a complaint a meeting is held with the complainant to see if the complaint has been brought to the attention of immediate supervisor or chair in the case of a student.
2. The dean is asked to investigate the complaint and report findings to me.
3. The VP will then meet individually with all parties to the complaint and afterward review all materials and testimony.
4. A decision will be made at that time.
5. A final meeting with be held with the complainant to discuss the decision.
6. A written decision will then be mailed to the complainant and a copy placed in the file with the complaint and all evidence.

**Documentation of a sample complaint** from a student, who felt that a program was unprofessional, hostile, and racially insensitive, demonstrates the ways in which UAB adheres to these procedures:
1. The Vice President for Equity and Diversity, after receiving the written complaint, met with the student. The documentation demonstrated that the program director and chair were aware of the complaint.

2. The dean of the School of Health Professions investigated the complaint and reported his findings to the Vice President for Equity and Diversity.

3. The Assistant Vice President for Student Life investigated the complaint and reported his findings to the Vice President for Equity and Diversity.

4. The Vice President for Equity and Diversity interviewed the parties referenced in the complaint and reviewed the appropriate documentation.

5. The Vice President for Equity and Diversity met with the student to discuss the decision, and he mailed a copy of the written decision to the student. At this point the complaint was resolved.

Sources (In Order of Appearance)

[PDF] Student Complaint Policy
[PDF] UAB BlazerNET Complaint System - Landing Page
[PDF] Student Complaint System E-mail Reminder
[PDF] 2014-2015 Undergraduate Catalog (Page 67)
[PDF] 2014-2015 Graduate Student Handbook (Page 20)
[PDF] Policy for a Healthy Learning Environment and Learner Mistreatment
[URL] "Report It" system
[PDF] UAB Enterprise Code of Conduct
[URL] Ethics Matter Website - What To Report
[URL] University Compliance Office - Code of Conduct
[URL] UAB Enterprise Code of Conduct
[PDF] Equal Opportunity and Discriminatory Harassment Policy
[URL] Equal Opportunity and Discriminatory Harassment Policy
[PDF] Equity and Diversity Complaint Form
[PDF] Sample Equity: Diversity Complaint
Recruitment materials
Recruitment materials and presentations accurately represent the institution’s practices and policies.

Judgment
☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative
As a member of the National Association for College Admission Counseling (NACAC), UAB is bound by the guidelines included in the NACAC "Statement of Principles of Good Practice" which is the organization’s code of conduct. Among its member conventions, which represent a set of understandings or agreements to frame its code of ethics, are the following: "Members will make protecting the best interests of all students a primary concern in the admission process; members will provide accurate admission and financial aid information to students...; members will be ethical and respectful in their counseling, recruiting and enrollment practices."

Recruitment Materials
Much of an institution’s recruitment material must be accessible electronically in the current environment. UAB provides information for potential undergraduate students interested in attending the institution on its Undergraduate Admissions website (internet access required). Information provided on this website relates to all undergraduate programs whether offered off-campus or online. UAB also participates in the College Portrait, a source of basic, comparable information about public colleges and universities created as part of the Voluntary System of Accountability, sponsored by the American Association of State Colleges and Universities and the Association of Public and Land-grant Universities.

The Graduate School has mounted many initiatives that facilitate the efforts by graduate program faculty to recruit students. Results from many studies designed to determine how students first become aware of and get information regarding graduate programs have demonstrated that the predominant mechanism is visitation of websites. Accordingly, the UAB Graduate School has significantly reduced the production of printed recruitment materials in favor of upgrading and regularly updating our generic websites and encouraging each of the graduate programs to follow suit. Graduate School staff manage the Graduate School website (internet access required) and the Graduate Biomedical Sciences website (internet access required). Both sites directly link to all graduate programs specific websites. The Graduate School also maintains Diversity and Retention and Success initiatives.

A representative sample of printed materials that are used to respond to students expressing interest in UAB and its programs are provided.

- UAB Graduate School Brochure
- Financial Aid Brochure
- Honors College Brochure
- Information for International Students
- Majors and Minors Brochure
- Student Life Brochure
- School of Education Department of Human Studies Brochures and Flyers

The Schools of Dentistry (internet access required), Medicine (internet access required), and Optometry (internet access required) also make available information for prospective students on their respective websites.

Accuracy of Information
At the undergraduate level, all printed recruitment materials, electronic communications, website information, and information provided in presentations are planned and reviewed by a communications committee that meets bi-monthly. This committee is comprised of members of the Enrollment Management team and lead by the Director of Student Communications. The Director of Student Communications works closely with the UAB Office of Strategic and Integrated Communications to develop materials and ensure messaging is accurate and consistent.

The life cycle for printed recruitment materials is no more than one calendar year. Typically, new materials with the most up-to-date information for the upcoming academic year are deployed in August. The UAB Office of Institutional Effectiveness and Analysis (IE&A) is a significant source of information used in recruitment materials. Facts and figures presented in recruitment materials are aligned with data provided on IE&A’s website (internet access required).

The Director of Student Communications consults with a number of campus entities to provide up-to-date information in the development of materials. These entities include but are not limited to: Institutional Effectiveness and Analysis, Office of Admissions, Financial Aid, Housing and Residential Life, International Recruitment and Student Services, Career and Professional Development Services, Honors College, Transfer Center, Student Life, Study Away, Enrollment Operations, and academic units.

Final approval for recruitment materials is granted by the department head for the unit responsible for distribution.

Members of the communications committee conduct a web audit once a semester with the Web Communications Manager to ensure information presented on the website is relevant and accurate. Changes to costs of attendance, scholarships, academic offerings, requirements, deadlines, and other changes in policy or offerings prompt immediate updates to the admissions website.
For the Graduate School and health profession schools, the deans and admissions staff review publicly available materials on an ongoing basis to ensure that current and accurate information is being presented. Communication between the Graduate School and program staff initiate updates to websites and any printed materials.

Sources (In Order of Appearance)

- [PDF] NACAC Statement of Principles of Good Practice
- [URL] UAB Undergraduate Admissions
- [PDF] University of Alabama at Birmingham College Portrait
- [PDF] Graduate School Recruitment Initiatives
- [URL] UAB Graduate School
- [URL] UAB Graduate Biomedical Sciences
- [PDF] Graduate School Initiatives to Enhance Student Diversity
- [PDF] Graduate School Initiatives to Promote Student Retention and Success
- [PDF] Graduate School Brochure
- [PDF] Financial Aid Brochure
- [PDF] Honors College Brochure
- [PDF] Information for International Students Brochure
- [PDF] Majors and Minors Brochure
- [PDF] Student Life Brochure
- [PDF] School of Education Department of Human Studies
- [URL] School of Dentistry
- [URL] School of Medicine
- [URL] School of Optometry
- [URL] UAB Office of Institutional Effectiveness & Analysis
Title IV program responsibilities

The institution is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended. (In reviewing the institution’s compliance with these program responsibilities, the Commission relies on documentation forwarded to it by the U. S. Department of Education.)

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The United States Department of Education has deemed that UAB satisfies the definition of an eligible institution under the Higher Education Act of 1965, as amended. UAB has no limitation, suspension, or termination action by the U. S. Department of Education in regard to student financial aid or other federal aid programs. UAB is not on reimbursement or any other exceptional status in regard to federal or state financial aid. Furthermore, the institution is authorized through 2016 to participate in Federal Student Financial Aid Programs under the Program Participation Agreement. Under this authorization, the institution disbursed $150,776,196 in federal financial aid for the 2012-2013 award year. That accounted for 79% of the total financial aid distributed in the form of grants, loans, scholarships, and employment from all sources.

The institution meets the requirements described in the Federal Student Aid Blue Book. Specifically:

- 2013 A-133 Audit required by the U.S. Office of Management and Budget shows that UAB meets the Financial Responsibility Standards and there are no material weaknesses or significant deficiencies identified. There were three findings in the 2012 A-133 Audit regarding timely notification of a change in loan servicer, return of Title IV funds, and timely submission of Federal Funding Accountability and Transparency Act Reporting. The University’s leadership has addressed these issues by implementing in May 2013 a procedural change whereby all Return of Title IV refunds are calculated in Banner. In addition, in May 2013, the institution’s information technology department changed the scheduled run time of the report of student withdrawals to prevent the exclusions of any student withdrawals in the future.
- Financial Aid Organizational Chart and staff listing shows that it has the administrative capability required.
- Institution provides Student Consumer Information.
- UAB meets the Records Maintenance and Retention Requirements as outlined in the Federal Student Aid Blue Book, Volume 1, in which a school must keep comprehensive, accurate program and fiscal records related to its use of FSA program funds and must retain all required records for a minimum of three years. The University is committed to ensuring that all student FSA records are governed by the student confidentiality rights of the Family Educational Rights and Privacy Act (FERPA).

Sources (In Order of Appearance)

[PDF] Program Participation Agreement
[PDF] The Blue Book Volume One
[PDF] 2013 A-133
[PDF] 2012 A-133 (Page 26)
[PDF] Procedural Change Corrective Plan
[PDF] Financial Aid Organizational Chart
[PDF] Financial Aid Staff
[PDF] Student Financial Aid Information
[URL] UAB Policies and Procedures Library
[PDF] Policies and Student Records (Page 3)
[PDF] Records Retention Schedule (Page 36)
[PDF] FERPA
4.8.1

Verification of Student Identity in Distance or Correspondence Education

An institution that offers distance or correspondence education demonstrates that the student who registers in a distance or correspondence education course or program is the same student who participates in and completed the course or program and receives the credit by verifying the identity of a student who participates in class or coursework by using, at the option of the institution, methods such as (a) a secure login and pass code, (b) proctored examinations, or (c) new or other technologies and practices that are effective in verifying student identification.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

UAB has made significant strides relating to distance education since 1998 when the first online course was offered in the School of Health Professions. Some of the other schools followed suit, each working in silos. In the Spring 2013, the Division of eLearning and Professional Studies (eLPS), branded as UAB Online (internet access required), was approved, and a director was appointed. More details regarding the establishment of UAB Online are provided in Comprehensive Standard 3.3.1.2.

UAB Online led a campus wide year-long Strategic Plan process to identify deficiencies in regards to distance education. The Strategic Plan was developed by faculty and staff representatives university-wide invited to serve on the UAB Online Academic Advisory Council (AAC). With the Strategic Plan established, multiple standing committees are at work to address the gaps in distance education and bring consistency in policies and procedures and quality assurance to the University's distance education programs and courses.

For instance, the eLPS Policies and Procedures Committee is currently identifying needed policies and procedures for distance education through development of a gap analysis utilizing the Online Learning Scorecard, SACSCOC standards, and Quality Matters as benchmarks. Though analysis is underway, one the needs for uniform requirements for verifying student identity has been identified for further strengthening adherence to this standard.

Currently, two methods are in place at UAB to ensure that a student who registers in an online course is the same student who completes the coursework and receives credit. A third method is being vetted.

1. Students must create unique student IDs (BlazerIDs) and secure passwords. Instructions for creating BlazerIDs and passwords can be found on the UAB Information Technology BlazerID Central website. These secure credentials must be in place to access various campus systems and resources, such as BlazerNET (to enroll in classes, check grades, transcripts, financial aid, etc.), Canvas (UAB’s Learning Management System; to participate in online education), email, WiFi access, and library resources.

2. Some faculty at UAB employ proctoring for online exams to ensure that the student enrolled in the course is the one taking the exam. A list of those academic units employing proctoring is featured in the table below. UAB Online provides Faculty Proctoring Procedures that recommend three student proctoring options: on-campus proctoring, in-person proctoring at a remote location, or online proctoring services via a third party vendor, ProctorU (internet access required). Regardless of the option, students must provide a valid picture ID, such as a Driver’s License or student ID card. These procedures are provided to faculty for guidance on proctoring procedures via the Faculty Resources webpage on the UAB Online website (internet access required).

Some faculty require exams be taken within the learning management system, Canvas. Security measures are built-in to ensure that a student who takes the exam is the student enrolled. Beyond, the login credentials, faculty may add another layer for checking identity. Password protected exams and providing the password before the test to students enrolled in the course ensures that the students have to be present to receive credentials.

Other faculty provide alternate forms of assessment, such as projects, essays, etc. They employ Turnitin (internet access required), which compares assignments to a large bank of previously submitted work in a network of universities as well as the internet for detecting plagiarism. Instances of plagiarism are quickly flagged, and links to specific sources provide. Additionally, faculty gain a feel for individual student work.

The decision to utilize proctoring, technology security measures, or alternate assessments rests with the individual faculty member or academic department, since it is contingent upon the discipline and its respective standards and outcomes.

3. Currently, eLPS Enabling Technologies Committee (ETC) (internet access required), another standing committee of the UAB Online AAC, is working to add a third layer of student authentication via a third party vendor. The purpose of the ETC is to ensure technology evaluation and adoption is academically driven and usable by including end users in the process.

The ETC's charge is to identify a student identity solution to specifically target students at any given point in the course. The solution should authenticate students completing any type of course requirements at any time.

The search for a solution began in the spring 2014 when the ETC chair polled the UAB Instructional Designers’ Consortium (IDC) to learn what each school/college is doing in this regard, responses for which are detailed in the table below. The IDC is a group of designers representing each school/college that works to solve issues and share resources and expertise.

UAB College/School Authentication and Proctoring Solutions
Potential solutions and their corresponding criteria have been compiled into the Authentication/Proctoring Solution Matrix. The ETC Chair requested that the IDC vet various options identified in the matrix. The results of the IDC’s review are detailed in the Online Student Authentication Project memo. The ETC has attended demonstrations of various solutions and reviewed the memo citing recommendations from the IDC chairman. An additional solution was recommended by faculty and demonstrated, resulting in a pilot of ProctorFree, which concluded this summer. ProctorU has been piloted already and is in use currently with several online courses.

The ETC met to discuss going forward and to see a demonstration of ProctorU’s new Identity Management Suite. The committee recommended a usability study and to continue vetting other authentication options, since the current ones were not sufficient (see ETC memo). The goal is to have a solution in place by the Spring 2015 semester, providing a viable option is found.

Sources (In Order of Appearance)

| [PDF] Announcement - UAB seeking Director of e-Learning and Professional Education |
| [URL] UAB Online |
| [PDF] eLPS Director Appointed |
| [PDF] UAB Online - Strategic Plan |
| [PDF] UAB Online - Standing Committees |
| [PDF] UAB Online Education Gap Analysis |
| [PDF] BlazerID Instructions (Page 2) |
| [PDF] Recommended Faculty Procedures for Proctoring |
| [URL] ProctorU |
| [PDF] UAB Online - Faculty Resources |
| [URL] UAB Online - Faculty Resources |
| [URL] Turnitin |
| [URL] Enabling Technologies Committee |
| [PDF] Authentication and Proctoring Solution Matrix |
| [PDF] Memo - Online Student Validation |
| [PDF] ETC Authentication Tool Search Recommendation |
| [PDF] BlazerID Central |
Written Procedure for Distance and Correspondence Education Student's Privacy

An institution that offers distance or correspondence education has a written procedure for protecting the privacy of students enrolled in distance and correspondence education courses or programs.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

UAB protects the privacy of all students, including those enrolled in distance education courses and programs, through written policies and procedures and training opportunities. Responsible parties for the resources vary and sometimes overlap between several administrative units. These resources are provided to faculty, staff, and students electronically on UAB websites.

Policies and procedures for obtaining, changing, and protecting BlazerIDs (usernames) and associated passwords are provided on the BlazerID Central website (internet access required). These secure credentials are required for students to login in to BlazerNET, the student, faculty, and staff portal to student records and information. Students must also use these credentials to login to UAB email and Canvas, the learning management system, for participating in online courses. BlazerID Instructions are provided and the Password/Passphrase Protection Standard which requires password by changed every six months for students and every three months for faculty ensure BlazerIDs and passwords are secure.

The UAB Information Technology website (internet access required) promotes student awareness about information security and privacy with numerous links to information on its Students webpage, in its FAQ and Help Articles (such as the Public or Private Computer Selection page), and in its monthly Cyber Security Newsletter focused on information security. On the IT Related Policies and Guidelines webpage (internet access required), a list of best practices is available with regards to various security issues for faculty and staff dealing with student information (i.e., security practices, policy violations, payment card privacy statements, etc.). Additionally, UAB IT includes an Addendum in third-party technology vendor contracts detailing procedures vendors must follow to protect the privacy of UAB students.

The UAB Policies and Procedures Library website houses the Data Protection and Security Policy (detailing the policy for data protection and storage) and the Records Retention Policy (for UAB units to implement an appropriate records program). UAB IT Security Practices Checklist (specific steps and guidelines to system administrators; covers protection of sensitive data for each role of the UAB community as well as reporting and investigating procedures for security breaches and violation of policy procedures) is linked on the UAB IT website.

Student rights are protected by the Family Educational Rights and Privacy Act (FERPA), which is available on the FERPA website (internet access required) and the UAB Policies and Student Records website (internet access required). The FERPA website provides links to individual pages, and FAQs respond to specific needs of faculty, staff, and students. Prior to gaining access to student information in Banner, employees must register for and participate in FERPA education via the UAB Faculty & Staff Learning System. This electronic course is designed to give users an overview of the federal law on student records and UAB related policies, as well as the guidelines for the appropriate use of student records. Upon completion of the course, the user must complete an online test demonstrating his/her understanding of these policies and guidelines.

Sources (In Order of Appearance)

[URL] BlazerID Central
[PDF] BlazerID Instructions (Page 2)
[PDF] Password Passphrase Standard
[URL] UAB Information Technology
[PDF] UAB Information Technology - Students
[PDF] Information Technology FAQs and Help Articles
[PDF] Public or Private Computer Selection on Login
[PDF] IT Security Newsletters
[URL] IT Related Policies and Guidelines
[PDF] UAB IT Vendor Addendum on Student Privacy
[PDF] Data Protection and Security Policy
[PDF] Records Retention Policy
[PDF] UAB IT Security Best Practices
[URL] FERPA
[URL] UAB Policies and Student Records
4.8.3

Written Procedure for Projected Additional Student Charges

An institution that offers distance or correspondence education has a written procedure distributed at the time of registration or enrollment that notifies students of any projected additional student charges associated with verification of student identity.

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

The UAB Vice Provost for Student and Faculty Success provided written guidance on the matter of additional charges to all deans of academic units for distribution to faculty and staff in May 2014. Faculty requiring online proctoring must provide notification of such to students prior to registration via the course notes area where courses are listed in Banner, UAB’s student registration system, so students are aware of fees prior to registering.

Only some of UAB distance programs or courses require proctoring. Faculty Proctoring Procedures are provided on the UAB Online Faculty Resource webpage to guide faculty in appropriate proctoring processes. These proctoring procedures recommend three options for online students. Option 1 provides an opportunity for on-campus proctoring at a specific time, place, and location for students who may be near campus. Option 2 provides students at a distance the opportunity to choose a proctor for in-person proctoring at a location convenient for them, providing specific parameters are followed. Option 3 provides online proctoring via a third party proctoring service for a fee for which students are responsible.

Instructions for each option are clearly detailed and provided for faculty to post in the learning management system and within their syllabi. See sample. This ensures that students are aware of the various options and expectations of them for each selection. Additionally, this provides options that best suit students’ individual challenges.

Sources (In Order of Appearance)

[PDF] Austin Email - Verification Fees Disclosure
[PDF] Online Proctoring Fee Disclosure in Banner Notes
[PDF] Faculty Proctoring Procedures (2-Jul-2014)
[PDF] Syllabus Outlining Proctoring Options and Fees (Page 5)
4.9

Definition of Credit Hours

The institution has policies and procedures for determining the credit hours awarded for courses and programs that conform to commonly accepted practices in higher education and to Commission policy. (See Commission policy “Credit Hours.”)

Judgment

☐ Compliance  ☐ Partial Compliance  ☐ Non-Compliance  ☐ Not Applicable

Narrative

UAB has policies and procedures that are designed to ensure that credit hours are only awarded for courses and programs that conform to the required practices and policy.

UAB awards course credit only for successful completion of a course that has been approved by all necessary curriculum committees in a department, college, or school. It is UAB’s policy that all such committees use the definition of “credit hour” in the regulations of the U.S. Department of Education under the Higher Education Opportunity Act. Further, UAB complies with the definition of “credit hour” found in the policies of the Alabama Commission on Higher Education, which defines that term as “[a] unit of measure representing the time and activity required for one hour of credit. Usually, this involves the equivalent of 50 minutes of instruction each week for a semester, trimester, or quarter.”

The UAB definition of credit hour is as follows:

"[A]n amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates not less than –

1. One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or
2. At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours."

This definition should be used in all courses at all levels (graduate, professional, and undergraduate) that award academic credit (i.e., any course that appears on an official transcript issued by UAB) regardless of the mode of delivery including, but not limited to, self-paced, online, blended, lecture, seminar, laboratory, and internship.

This definition should also be applied to new courses as well as revisions to existing courses requiring approval by a curriculum committee.

This credit hour policy is applied to traditional courses which have a contact hour basis as follows:

<table>
<thead>
<tr>
<th>Semester Hours</th>
<th>Clock Hours/Term with</th>
<th>Weeks per</th>
<th>Hours Minutes per</th>
<th>Minutes / Week</th>
<th>Terms</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>60.83</td>
<td>14</td>
<td>4 hrs 10 min</td>
<td>250</td>
<td>Fall and Spring</td>
</tr>
<tr>
<td>4</td>
<td>53.83</td>
<td>14</td>
<td>3 hrs 40 min</td>
<td>220</td>
<td>Fall and Spring</td>
</tr>
<tr>
<td>3</td>
<td>37.5</td>
<td>14</td>
<td>2 hrs 30 min</td>
<td>150</td>
<td>Fall and Spring</td>
</tr>
<tr>
<td>2</td>
<td>25.83</td>
<td>14</td>
<td>1 hrs 40 min</td>
<td>100</td>
<td>Fall and Spring</td>
</tr>
<tr>
<td>1</td>
<td>14.16</td>
<td>14</td>
<td>0 hrs 50 min</td>
<td>50</td>
<td>Fall and Spring</td>
</tr>
<tr>
<td>3</td>
<td>38.25</td>
<td>13</td>
<td>2 hrs 45 min</td>
<td>165</td>
<td>14-week Summer</td>
</tr>
<tr>
<td>4</td>
<td>56.5</td>
<td>9</td>
<td>6 hrs</td>
<td>360</td>
<td>10-week Summer</td>
</tr>
<tr>
<td>3</td>
<td>38.5</td>
<td>9</td>
<td>4 hrs</td>
<td>240</td>
<td>10-week Summer</td>
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<tr>
<td>2</td>
<td>25</td>
<td>9</td>
<td>2 hrs 30 min</td>
<td>150</td>
<td>10-week Summer</td>
</tr>
<tr>
<td>1</td>
<td>12.25</td>
<td>9</td>
<td>1 hrs 5 min</td>
<td>65</td>
<td>10-week Summer</td>
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<tr>
<td>4</td>
<td>54</td>
<td>6.5</td>
<td>8 hrs</td>
<td>480</td>
<td>Summer A &amp; B</td>
</tr>
<tr>
<td>3</td>
<td>41</td>
<td>6.5</td>
<td>6 hrs</td>
<td>360</td>
<td>Summer A &amp; B</td>
</tr>
<tr>
<td>4</td>
<td>52</td>
<td>4</td>
<td>12 hrs 30 min</td>
<td>750</td>
<td>May Session</td>
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<tr>
<td>3</td>
<td>42</td>
<td>4</td>
<td>10 hrs</td>
<td>600</td>
<td>May Session</td>
</tr>
</tbody>
</table>

The course scheduling system enforces this by requiring course, which has credit hour associated with it, to utilize a section code (i.e.,
time slot) with the requisite contact hours.

**Sources** (In Order of Appearance)

- [PDF] Definition of Credit Hours
- [PDF] ACHE Operational Definitions (Page 2)