


**UNIVERSITY OF ALABAMA AT BIRMINGHAM
COLLEGE OF ARTS AND SCIENCES
DEPARTMENT OF PHYSICS
FACULTY POLICIES AND PROCEDURES HANDBOOK**

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UAB
DEPARTMENT OF
PHYSICS FACULTY HANDBOOK

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1. Statement of Compliance

This document describes the policies and procedures that the Department of Physics shall follow in the operation and administration of the Department with regards to initial faculty appointments, reviews, reappointments, tenure, promotion, leaves, and other matters related to faculty affairs. Policies and procedures described in the most current *UAB Faculty Handbook* and *UAB College of Arts and Sciences (CAS) Faculty Handbook* shall be followed if they are not defined or discussed in the present version of this document or shall take precedence in the case that any Physics policies and procedures are inconsistent with those in the most current *UAB Faculty Handbook* or *CAS Handbook*.

2. Department of Physics Mission, Vision, and Goals

The Department of Physics at the University of Alabama at Birmingham is a research-driven, student-centric department. The foundation of the Department's mission rests on three pillars: research/scholarship, teaching, and service. The Department advances knowledge that changes the world by conducting transformative research and scholarship while developing a diverse STEM workforce. It promotes physics education as well as life-long learning for all. We are a rigorous, research-intensive department that fosters collaboration across the University, provides a high quality personalized education experience for undergraduate and graduate students, and develops deep relationships with the local community. Our goal is to empower and facilitate innovative research and creative scholarly activities that drive knowledge creation focused on improving lives. For this, we recruit, develop, and retain world-class faculty members that lead high quality research programs and initiatives for national and international impact. As part of the UAB strategic plan, we are committed to excellence in advancing scientific discovery and research dissemination. We enhance UAB's institutional culture of collaboration and innovation and support campus-wide efforts to meet today's grand challenges. To achieve the latter goal, we focus the department's research strategic plan on national grand challenge initiatives rooted in Physics, where our faculty can have maximum impact. We serve the essential role that physics plays in the modern world, by providing high quality education and research opportunities at the undergraduate, graduate, and post-graduate (postdoctoral) levels. We deliver transformative, integrative, and personalized education that aligns individual student passions and talents with 21st century career opportunities, industry-relevant technical skills, and the education of the whole person. We are also focused on developing the STEMM (Science, Technology, Engineering, Mathematics, and Medicine) workforce of the 21st century at all levels and on promoting science in the state of Alabama. To strengthen and expand our innovative academic program, we use emerging educational technologies to remove barriers and provide equal opportunities for high quality education across geographical, social, economic, and gender boundaries. We actively engage students in experiential learning through mentored research and by fostering meaningful intersections between curricular and co-curricular activities. As part of our service mission, we support economic development in the city of Birmingham, achieved by establishing a thriving local hub for innovation and creativity and by positively impacting regional industry.

3. Departmental Structure/Governance/Standing Committees

3.1 Structure

The Department of Physics is led by the Department Chair. The department also has a Program Director for its undergraduate program, a Program Director for its graduate program, and optionally an Associate Chair. The department has a Faculty Affairs Committee (FAC) and additional committees necessary for smooth functioning.

The Physics faculty (hereafter: faculty) consists of all persons with primary UAB appointments in the Department of Physics (hereafter: Department) who have tenure or have tenure-track (TT) or non-tenure-earning (NTE) appointments. All Physics faculty holding the rank of Instructor of Physics (NTE), Assistant Professor of Physics (TT or NTE), Associate Professor of Physics (tenured or NTE), or Professor of Physics (tenured or NTE) have voting privileges at faculty meetings. Regular faculty meetings take place at least once every two months, unless a special meeting is called. A regular faculty meeting is called by the Chair of the Department. Special meetings of the faculty may be called by the Chair or at the written request of one-third of the members of the Faculty. All faculty meetings are conducted by the Chair of the Department, or by a designee appointed by the Chair.

3.2 Governance

The Department of Physics follows UAB's policy of shared governance.

3.3 Departmental Standing Committees

3.3.1 Faculty Affairs Committee (Physics FAC)

This committee serves as advisory to the Chair. Its function is to (1) consider, make recommendations, and/or report to the Chair on faculty personnel matters of promotion, tenure, and initial appointments with tenure, (2) ensure that established procedures and guidelines are followed in the appointment, promotion, and tenure of Physics faculty, and (3) provide advice and recommendations on faculty matters and department-wide issues to the Chair.

The FAC advises the Chair on developing a departmental strategic plan for future excellence. Support and strengthening of research and education strategic objectives described in section 2 are priorities of the departmental strategic plan. These strategic goals guide all departmental decisions. The FAC also makes recommendations on how to promote and expand extramural funding. Its role includes formulating and overseeing activities that serve mentoring of principal investigators and all faculty, mentoring and experiential learning of undergraduate and/or graduate students, supporting junior and mid-career faculty with pre-submission proposal reviews and proposal-writing workshops, preparing and submitting training grants and instrumentation proposals, etc. Finally, the FAC helps assess the overall research and teaching infrastructure and facilities in the Department and makes necessary recommendations. The committee meets to discuss matters important to the Department, including, but not limited to, curriculum changes, policy and

procedural changes, progress reviews and reappointments of non-tenured faculty, tenure and promotion, and faculty searches and hires.

Membership of the Physics FAC will consist of all full-time regular faculty members holding the rank of instructor or higher. All faculty will have voting privileges, except on matters concerning personnel actions, such as promotion and tenure recommendations or faculty appointments or reappointments, where voting rights are defined elsewhere in this Handbook. For example, only tenured faculty members are eligible to vote for appointments and recommendations that involve tenure, while only faculty at or above the rank to which an individual is to be appointed or promoted to are eligible to vote on such an appointment or promotion recommendation. Non-tenure-earning faculty do not vote on promotions of tenured or tenure-track faculty. In the spring of every second year, the voting membership shall elect a tenured faculty member of the Physics Department to serve a two-year term as Chair of the Physics FAC (referred to as FAC Chair; never simply Chair). A majority of the eligible voting membership will constitute an approval of a policy or procedure, recommendation for a faculty appointment or faculty promotion, or recommendation for an award of tenure. The Chair of the Department may not be a voting member of the FAC.

3.3.2 Faculty Search Committee

Membership to a Faculty Search Committee will consist of departmental faculty and non-departmental faculty when appropriate. With approval from the Dean of the College of Arts and Sciences (CAS) and other appropriate university entities, the Department Chair will select faculty for the Faculty Search Committee, as well as appoint the Search Committee Chair. The committee will be charged with being proactive in the recruitment process. It will be tasked with soliciting applications that ensure a diverse and well-qualified pool of candidates for a faculty position, reviewing the applications of the candidates, soliciting additional information, including letters of recommendations, and recommending a subset of candidates for an on-campus visit and interview. The Faculty Search Committee must provide a documented recommendation to the Chair and to the FAC as to the best candidates for serving the departmental strategic plan and also give a preferred ranking of these candidates. The Chair approves this list and its documentation, or returns it to the Faculty Search Committee for further discussion. The Chair then forwards the final departmental list of candidates to the CAS Dean and follows UAB hiring policies and guidelines for the interviews. The Physics FAC discusses the interviewed candidates, votes on who to make offers to, and reports the results to the Department Chair for his/her approval. The Department Chair forwards the department's decision to the CAS Dean for approvals and then initiates offers based on UAB hiring policies and government guidelines.

3.3.3 Graduate Program Committee

The Graduate Program Committee is chaired by the Graduate Program Director and is charged with all aspects of development and administration of the graduate program, including appointment of various subcommittees in graduate curriculum development, as well as graduate student admissions and placement.

The Graduate Admissions and Placement Committee, a subcommittee of the Graduate Program Committee, will be chaired by the Graduate Program Director and is charged with the recruitment and admission of graduate students to the physics graduate program. The Committee may solicit input from non-committee members about applicants when reviewing the applications from prospective graduate students.

3.3.4 Undergraduate Program Committee

The Undergraduate Program Committee is chaired by the Undergraduate Program Director and is charged with all aspects of the undergraduate program for physics majors. This includes recruitment, retention, graduation, research, and curricular development within the program leading to the B.S. degree in physics. This committee also reviews program performance metrics and attainment benchmarks in relation to college and university wide academic and programmatic goals.

The Undergraduate Curriculum Committee, a subcommittee of the Undergraduate Program Committee, is charged with all aspects of curricular development for courses taken primarily by students who are not physics majors. Typical items that are considered by this committee include proposals for addition of new courses to current offerings, standardization of content and academic rigor/expectations across multiple sections of the same course, and textbook choices. The chair of this committee will be appointed by the Undergraduate Program Director, with approval of the Department Chair.

The Undergraduate and Graduate program committees operate by scheduling open meetings that all faculty members are invited to attend and provide input on specific agenda items developed for each academic year. Periodic reports and updates are made by the committees at general faculty meetings. Changes in curriculum as described in UAB catalogs for degree programs may require broader discussion and/or approval by the entire physics faculty.

3.3.5 Honors and Awards Committee

The Honors and Awards Committee is charged with overall coordination of honors, endowed scholarships, and awards bestowed on physics undergraduates and graduate students. Specifically, the committee will encourage students to apply for available awards inside and outside UAB or endowed scholarships and assist them with the application process if necessary and appropriate. If the award requires nominations, the committee will encourage faculty to nominate students, assist faculty and students with the application material, and the committee chair will forward all application materials to the appropriate UAB personnel. The committee will also ensure that the appropriate students are recognized annually at a gathering of the Physics Department whenever possible.

3.3.6 Technology-Enabled Physics Education Committee (TEPEC)

The Technology-Enabled Physics Education committee reports directly to the Department Chair and is charged with all aspects of development and administration of UAB Department of Physics

distance-accessible courses. The committee also explores and recommends new ways of using emerging educational technologies for teaching Physics inside and outside the classroom. The committee advises the Department Chair on academic and operational matters related to online, hybrid, and/or web-enhanced face-to-face courses, as well as on best uses of emerging educational technologies in all aspects of the department's mission.

Typical committee considerations include type and number of technology-enhanced or distance-accessible courses to be offered, structure and management of these courses (e.g., organization of sections based on focused topics or particular student audiences), allocation of teaching assistants for distance-accessible course operation in order to enhance and optimize student engagement, and best practices in distance-accessible education. The chair of the TEPEC committee is appointed by the Department Chair. For effectiveness, the committee membership will comprise of faculty and instructors directly involved with distance-accessible education and innovative educational technologies, such as, e.g., faculty teaching Physics courses online. The Department Chair will appoint to the committee one faculty member (and one alternate) not directly involved in online education to serve as an ex-officio member to the committee. This will ensure better integration and synergies of Technology-Enabled Physics Education efforts with the rest of the departmental activities. TEPEC operates by scheduling open meetings and by inviting all faculty members to attend and provide input on the developed agenda items. Periodic reports and updates are made by this committee at faculty meetings. Changes in curriculum affecting degree programs as described in the UAB catalog may require a broader discussion and/or approval by the entire physics faculty.

3.3.7 Other Committees

Other *ad hoc* committees will be constituted by either the Department Chair or Physics FAC to examine, review, and make recommendations with respect to specific issues, concerns, or procedures as warranted.

4. Faculty

4.1 New Faculty Appointments: Tenured, Tenure-Track, and Non-Tenure Earning Faculty

The Department of Physics is committed to the appointment, promotion, and retention of faculty who excel in research, scholarship, teaching, and service. Physics faculty contribute to the fulfillment of the Department's and the University's missions through a variety of activities reflective of their skills and expertise. Recruitment of new tenure-track and tenured Physics faculty serves the needs, priorities, and strategic goals of the Department, College, and University. Such faculty focus on both research and teaching as their primary missions, with service as a secondary mission. Non-tenure-earning (NTE) Physics faculty appointments may be conferred on full-time faculty whose responsibilities are less broad across the three missions than those of tenure-track or tenured faculty. NTE faculty focus on either teaching or research as their primary mission, with secondary contributions in the other two missions that are not considered as primary. All proposals for new faculty appointments are initiated by the Chair during annual budget meetings with the

CAS Dean. After the Dean and Provost have approved a new faculty position, the Chair will initiate the search process by following the most current CAS and UAB hiring policies and governmental procedures.

4.2 Secondary Faculty Appointments in Physics

A UAB faculty member from another department may request a secondary faculty appointment in Physics according to policies and procedures described in the UAB Faculty Handbook. These appointments are non-tenure-earning. Secondary faculty should advance the mission of the Department of Physics in teaching, research/scholarship, and/or service, and/or provide a significant intellectual merit to the Department of Physics. They can achieve this through collaboration with Physics faculty and/or through mentoring of Physics undergraduate and/or graduate students. The faculty member will be appointed at a rank equal to or below that which this person holds in their primary appointment at UAB. Secondary faculty may be asked to serve on committees and special task forces and attend Physics sponsored events. Secondary appointments are usually voluntary and non-salaried. The request for such an appointment must document how this will provide a unique service to the department's research/scholarship, teaching, and/or service missions. A current curriculum vitae of the applicant, along with a memo describing the reasons and benefits of this appointment to the Department of Physics, will be reviewed by the Physics FAC. If approved by both the Physics FAC and the Department Chair, the appointment will be recommended for a period of no more than 5 years. The Department Chair will write a letter to the applicant delineating their expected duties and the duration of the appointment. Reappointments will be approved by the Physics FAC and Department Chair upon satisfactory review of the appointee's contributions over the past appointment period and based on anticipated contributions in the future.

4.3 Adjunct/Visiting Faculty and Credentialed Course Instructor Appointments in Physics

The title Adjunct should be used to designate individuals who are not fulltime employees of UAB but who are appointed to the faculty to perform instructional, research, and/or service functions. Visiting is a courtesy title given to a visitor from another institution of higher education or from an appropriate organization or agency on a temporary duty assignment. If the individual is from an institution of higher education, he or she shall be given a rank that is equivalent to the rank held in his/her home institution with the designation "Visiting" added to the title. These appointments are non-benefit-earning, non-tenure-earning, and have a defined appointment period. The individual may be asked to serve on committees and attend Physics sponsored events. The request for an adjunct or visiting faculty appointment must document how the individual will strengthen the department in teaching, research/scholarship, and/or service. A current curriculum vitae of the applicant, along with a memo describing the reasons and benefits of this appointment to the Department of Physics, will be reviewed by the Physics FAC. If approved by both the Physics FAC and the Department Chair, the appointment will be recommended for a period of no more than 5 years. The Department Chair will write a letter to the applicant delineating their expected duties and the duration of the appointment. Reappointments will be approved by the Physics FAC

and Department Chair upon satisfactory review of the appointee's contributions over the past appointment period and based on anticipated contributions in the future.

Irregular Credentialed Course Instructors may be hired for teaching specific courses upon approval of the Department Chair and the Dean according to UAB policies. For such appointments, references must be provided and checked through the Chair's office. All instructors will be evaluated on an annual basis by the Department Chair and will be provided with a position description and a list of responsibilities related to their specific role.

4.4. Postdoctoral Scholars and Research Staff Appointments

Appointments of postdoctoral scholars that are paid from grants and contracts must be negotiated by the principal investigator and approved through the appropriate administrative channels. Full-time physics faculty who are Principal Investigators and who wish to hire Postdoctoral Scholars that will be compensated entirely from non-departmental funds may do so with the concurrence of the Department Chair, in coordination with the UAB Office of Postdoctoral Education. The Principal Investigator must follow all UAB hiring policies and procedures for such appointments in order to ensure adherence to state and federal regulations and requirements.

UAB's Research Career Ladder provides a career path for laboratory staff and investigators who do not have or seek academic appointments. Such appointments as Researcher I-V or Scientist I-IV are paid from grants and contracts and must be negotiated by the principal investigator and approved by the Department Chair and the appropriate administrative channels and UAB Human Resources Department. UAB Researchers may be promoted from one level to the next as they gain experience and skills. The Scientist portion of the career ladder delineates the combination of education and experience needed to work in research laboratories and advance through the non-faculty ranks, <https://www.uab.edu/humanresources/home/compensation/research-career-ladder>

4.5 Research Non-tenure-earning (Research NTE) Faculty Appointments

Research non-tenure-earning (NTE) faculty appointments may be considered upon recommendation of the Physics FAC and the Department Chair according to UAB policies and procedures described below. Research NTE faculty must be compensated for their professional services by utilizing non-departmental funds. The capability to compensate the faculty member entirely from grants and contracts over the entire term of the appointment must be demonstrated. More information on these positions is found in the UAB Faculty Handbook.

Any Research NTE faculty appointment carries the expectation that this faculty member will function beyond the level of a post-doctoral fellow or research staff and will achieve independence. Such independence would be indicated, e.g., by the person developing his/her own source of funding and/or his/her own research project, along with being able to contribute in a very substantive way to the existing departmental research programs. In the case of a person recruited to the University for the performance of duties payable from limited term funds, both

service and salary may be terminated at the conclusion of this grant/contract funding. The above conditions shall be clearly stated in the letter of appointment.

The following process will be used by the Department of Physics for a Research NTE faculty, at the Assistant Professor rank or higher, whose position shall be funded by non-departmental sources secured by a physics faculty member or Principal Investigator of grants. After demonstrated capability to compensate the Research NTE faculty member entirely over the term of the appointment, and upon the recommendation of the physics faculty member or Principal Investigator with the concurrence of the Department Chair, a faculty recruitment request will be forwarded by the Department Chair to the CAS Dean for approval. A search Committee will then be formed, with the Committee Chair being the physics faculty member or Principal Investigator requesting the research NTE faculty recruitment. As with all faculty searches, the Faculty Search Committee will be charged with identifying a diverse pool of qualified candidates, reviewing the applications, selecting candidates for interviews and ensuring adherence with University faculty search/hiring policies and EOE/Affirmative Action requirements. The Committee Chair will forward his/her recommendation for candidate(s) to be hired as Research NTE faculty to the Physics FAC for its evaluation of the credentials and qualifications of the proposed candidate(s) for this appointment. The Physics FAC's review and recommendation shall be completed within two weeks and communicated to the Department Chair. If the Physics FAC and the Department Chair are both favorable and concur on the terms of the appointment, the hiring process will be initiated in consultation with the Dean. If either the Department Chair or Physics FAC does not support the recommendation, additional meetings will be held until the matter is resolved.

4.6 Emeritus Faculty Appointments

Physics faculty members who meet the eligibility requirements for appointment to emeritus status as described in the UAB Faculty Handbook can initiate such a request by submitting to the Department Chair a curriculum vitae that clearly describes the faculty's contributions in the areas of scholarship, teaching and service, together with a short summary outlining proposed continuing contributions to the Department, College, and University as an emeritus faculty. A candidate for emeritus status will normally be a faculty member retiring after ten or more years of service at UAB and holding the rank of associate or full professor. A candidate should have an excellent record in scholarship, teaching, and/or service. Recommendation of emeritus status by the Physics FAC and the Chair, along with a completed Emeritus Resolution Form and/or other required materials, will be forwarded to the CAS Dean, Provost, President, and UA System Board of Trustees for their approvals in accordance with the UAB Faculty Handbook.

4.7 Faculty Annual Evaluations

The Department Chair shall conduct a written evaluation of each full-time faculty (non-tenure-earning, tenure-earning and tenured) and shall provide feedback concerning past and future performance. Annual evaluations are conducted in accordance with the UAB Faculty Handbook.

The evaluation of faculty performance takes into account the standards for faculty at different ranks and types of appointment. By March 15 of each year, every faculty member is required to provide updated information regarding their activities in the previous calendar year and how these have served the departmental, college, and University strategic objectives and mission in the areas of teaching, research/scholarship, and service. This information must be provided by using the Department’s Faculty Information Form (FIF) template. This FIF will be used as the basis of a written evaluation by the Department Chair. In particular, each faculty member shall provide updated information in the following seven areas that are aligned with the department’s mission and strategic plan, by following the specific format of the FIF:

1. Teaching effectiveness and load, course development
2. Grant and Contract support for Research and Education activities
3. Publications and Prizes/Fellowships/Awards
4. Physics Student Recruitment: Physics Majors and Physics Graduate Students
5. Physics Student Mentoring: Physics Major research opportunities and experiential learning, Graduate Student research, mentoring of students enrolled in Physics Tracks or Honors programs
6. Oral Presentations, Posters, Invited Talks, and Colloquia at national and international conferences, workshops and universities, with an emphasis on how the above have contributed in raising the faculty and Department of Physics visibility and reputation
7. Service/Outreach/Community Engagement activities

A numerical score will accompany the evaluation. This score reflects the Chair’s opinion about the faculty member’s performance based on the above criteria after taking into account the faculty member’s rank and duties. This score is based on the following performance rating scale:

Department of Physics Faculty Performance Rating Scale		
9-10	Exceptional	Performance consistently exceeds expectations for this rank, or makes exceptional or unique contributions in support of departmental, college, or University strategic objectives. Easily recognized as a top performer compared to peers in same rank. Demonstrates high-level capabilities and proactively takes on higher level responsibilities and initiatives
7-8	Exceeds expectations	Performance often exceeds expectations for this rank and the quality of work is excellent. Demonstrates high levels of effort, effectiveness, judgment, initiative and adaptability
5-6	Meets expectations	Performance meets expectations, reflective of a fully qualified and experienced individual in this position and rank. Quality of work is very good. Dependable and adaptive to changes in the area

3-4	Improvement needed	Demonstrates satisfactory performance inconsistently – performance fails to meet expectations in one or more key responsibilities
0-2	Unsatisfactory	Performance is substantially below expectations

The annual evaluation shall be written by the department chair. It will be presented to and discussed with the faculty member by June of each year. Faculty may include a written response to this evaluation, which is to be included in his/her personnel file. The outcome of these evaluations will provide the basis for yearly merit raise considerations.

4.8 Merit Raise Policy

Annual merit pay raises are provided to faculty and staff as the College and University budgets allow, and as directed by the Dean of the College of Arts and Sciences. The Chair will make recommendations for each faculty member’s merit pay raise based upon the information provided in the annual Faculty Information Form and the annual faculty evaluation by the chair.

4.9 Physics Faculty Mentoring

The information provided by each faculty in their annual FIFs as part of the annual evaluation procedure set in section 4.7 will also be used as the basis for the Department of Physics *Dyadic (one-on-one) Mentoring program*. This dyadic mentoring process is facilitated by the Department Chair or his/her designee, who will act as a mentor. It includes discussions between the mentor and the mentee on any topic related to the faculty member’s professional activities and development. The mentor will provide feedback on performance and productivity in relation to the standards for faculty at the mentee’s rank and type of appointment. They will discuss specific expectations and propose ways in which the Department can cooperatively assist the faculty member in achieving his/her professional goals within the framework of the departmental mission, goals, and strategic objectives.

To develop and empower junior faculty to succeed, the department uses an additional evidence-based *Facilitated Peer Mentoring* model. This mentoring process aims to add structure, direction, and support among all junior faculty (the *Peer Mentoring Cohort*). Each junior faculty brings distinct research and teaching expertise, which enables him/her to engage in shared mentoring with equitable transfer of skills among the peer mentoring cohort. The above mentoring model has an added benefit in terms of the level of candor, friendship, and support within the Department of Physics. Measurable goals include progress towards promotion and tenure, research outputs, successful delivery of courses and outreach activities, positive impact on diverse students, and proposals submitted and funded. The Department Chair, or his/her designee, will act as the *Facilitator Mentor*. The role of the Facilitator Mentor is to create the mentoring framework, help define goals, timeline, and academic career plans, facilitate acquisition of high-priority skills by the peer mentoring cohort, examine outcomes, and maintain accountability. The Facilitator Mentor will provide feedback in grantsmanship, manuscript preparation, and teaching. A major emphasis

is on support and empowerment of junior faculty for writing successful grant proposals, including early CAREER awards.

5. Promotion and Tenure Policies and Procedures

5.1 Faculty Annual Reviews

The Department Chair shall provide annually, by early June at the latest, a written review to each faculty holding a tenure-earning or tenured appointment (Assistant Professor, Associate Professor, Full Professor) and to each non-tenure-earning faculty (Instructor, Credential Course Instructor, Assistant Professor, Associate Professor, and Full Professor). The process for conducting this annual review is described in section 4.7. The review will identify the faculty's areas of growth and strength, as well as areas of concern, in all applicable aspects of the department's mission.

5.2 Faculty Biennial Reviews

The Department will conduct Biennial Reviews for all tenure-track faculty beginning in the Spring semester of the 2nd year of their appointment. In addition, all non-tenure-earning faculty planning to apply for promotion will also be reviewed, at least once within the two-year period prior to any request for promotion. Tenured Associate Professors who wish to apply for promotion to Full Professor within the next two years may also request a biennial review in order to receive Physics FAC feedback about strengths and weaknesses prior to applying. All non-tenured faculty in tenure-earning appointments must be reviewed and evaluated by the Physics FAC at least every two years. For these reviews, the faculty member must provide all relevant information not previously submitted to the Department Chair or the Physics FAC for evaluation. The Physics FAC shall prepare a written review/evaluation of research/scholarship, teaching, and service as they apply to the type of appointment of the individual faculty member under review. The FAC Chair shall forward this evaluation to both the faculty member and to the Department Chair. The Department Chair shall discuss this biennial FAC review with the faculty member concurrently with his/her own annual review. It then becomes a part of the promotion and/or tenure package. If desired, within 30 days of the meeting with the Chair, the faculty member may provide a written response to the FAC review, which will be included as an addendum to the biennial evaluation. After completion of this biennial review process, the Dean will be advised, in writing, of the results.

5.3 Faculty Reappointment and Non-Reappointment

The reappointment or non-reappointment of all non-tenured faculty in the Department follows the policies described in the UAB Faculty Handbook. Decisions on reappointment will be made using the annual evaluations by the Chair and the periodic reviews by the FAC, after considering all relevant Departmental, College, and University tenure and/or promotion criteria.

5.4 Review Process for Promotion and/or Tenure

UAB policies for promotion and for tenure are described in the UAB Faculty Handbook. CAS procedures for review of promotion/tenure applications are described in the most current version of the CAS Faculty Handbook. The most current Provost guidelines for preparation of promotion/tenure materials may be found online. All promotion and/or tenure applications in the Department of Physics must be initiated by the faculty member through a written notification to the Chair that indicates the desire to be put up for consideration. Any faculty member that meets all eligibility requirements may apply for promotion/tenure. The faculty candidate should have addressed all recommendations, issues, or concerns that may have been raised by the FAC during previous biennial evaluations, and by the Chair during the annual performance evaluation process.

Any faculty member appointed to a tenure-earning faculty position shall typically have a maximum of seven years to earn tenure. If tenure has not been awarded one year prior to the end of the specified maximum tenure-earning period, the appointment for the final year shall be a terminal appointment. Assistant Professors on a tenure-track appointment must thus apply for tenure no later than during their sixth year after appointment, unless an extension was previously requested and approved by the Provost. Therefore, the tenure process for Assistant Professors begins in the Spring semester of their fifth year after appointment. Additional considerations concerning extensions of the tenure-earning period and other matters are found in the UAB Faculty Handbook.

5.5 Responsibilities of Faculty Candidates for Promotion/Tenure

Each successive rank assumes and advances the expectations of the previous ranks. At each rank, the candidate must have successfully met the criteria for all lower ranks. The award of tenure requires not only significant and consistent past performance, but also the indication of potential for continuing significant contributions to the Department, College, University, profession, and discipline. Competence, i.e., satisfactory performance in all areas required by the position description and the appointment letter, is expected of all faculty. Excellence in both the research and teaching missions is expected of tenure-track and tenured faculty. The quality and impact of scholarly contributions is emphasized. For non-tenure-earning faculty, excellence in only one of the two missions, teaching or research, is required as appropriate. The expectation is that candidates need not undertake all of the example activities listed in section 6.3. Neither is the evidence for excellence in teaching, research/scholarship, and service limited to the example activities listed there.

Demonstrated excellence in both research and teaching at a level appropriate to the corresponding rank are the primary requirements for tenure and for promotion to tenured full professor or to tenured associate professor. Service is an important but secondary requirement. For non-tenure-earning faculty, the relative importance of teaching, scholarship and service categories is determined by the duties and workload percentages specified in the faculty's appointment letter, or in other written communications from the Chair or Dean.

5.6 Instructions for Constructing the Review File for Promotion/Tenure

Upon receipt, by September 15, of the package consisting of the candidate's (1) full curriculum vitae, (2) one-page narratives of scholarship/research, teaching, and service activities (as appropriate to the candidate's workload) that demonstrate how the candidate has met all requirements and how they have distinguished themselves by impacting the field, (3) all biennial and annual evaluations, and (4) evidence of teaching effectiveness, including teaching evaluations and student comments, the Department Chair will meet with the Physics FAC Chair to conduct a preliminary review of the applicant and compile a list of experts that can provide external letters of evaluation. The Chair and FAC Chair will then provide any feedback to the candidate for preparation of the full application package no later than two weeks following receipt of all material. The applicant's complete application package, consisting of all of the documents listed below, must be collected by the candidate and submitted to the Department Chair by November 15 at the latest:

1. One-page narratives clearly describing achievements that demonstrate impact and excellence that distinguish the candidate in the scholarship/research, teaching, and service mission areas (as appropriate to the candidate's workload)
2. Current full curriculum vitae that includes, among others: professional experience; scholarly activities including publications, presentations, funding, and awards; teaching activities including courses taught, theses and dissertations advised, student mentoring, curricular development; and non-instructional service activities
3. Teaching evaluation materials and documentation, including a statement of teaching philosophy and innovations implemented so far, a list of courses taught since appointment or last promotion, a summary of the numerical student evaluations of instruction, course grade distributions, and any other evidence of student learning from this time period
4. Copies of all student comments and any other pertinent evidence that documents effective teaching during this time period. The candidate may also include course syllabi, exams, and any other instructional materials that they consider relevant.
5. The candidate should include a list of potential reviewers external to UAB who are qualified to evaluate his/her performance in research and/or scholarship. In the case of non-tenure-earning faculty, these reviewers should be external to the department, but can be internal to UAB, and should also comment on the candidate's performance in the area of teaching if this is the primary mission. The candidate may also provide names of up to five people who should not be asked for evaluations due to real or perceived conflicts, with a short explanation in writing. Evaluation letters from thesis advisors, post-doctoral mentors, and former students are likely to be biased and are therefore to be avoided.
6. Additional evidence of research and scholarly productivity and impact during this time period
7. Any additional professional service and/or community engagement activities (internal or

external to UAB) that are not reflected on the curriculum vitae

8. The candidate may include his/her Letter of Offer or other official documents if the candidate believes that particular portions relate to the tenure and/or promotion review process.

It is the responsibility of any candidate for promotion, or promotion and tenure, to collect the required material and prepare a complete package in support of the application. This package must be prepared by using UAB Provost-approved templates and by complying with all applicable UAB procedures, regulations, and deadlines. The candidate must declare his/her intentions to apply for promotion, or promotion and tenure, during the next academic year to the Department Chair. The deadline for this is May 15, prior to the June 1 hard deadline for forwarding the request to the CAS Dean. A package that contains (1) a full curriculum vitae, (2) one-page narratives of scholarship/research, teaching, and service activities that demonstrate how the candidate has met all requirements and how they have distinguished themselves by impacting the field (as appropriate to the candidate's workload), (3) all biennial and annual evaluations, and (4) evidence of teaching effectiveness, including teaching evaluations and student comments should be submitted by the candidate to the Department Chair by September 15. UAB policies for promotion are described in the UAB Faculty Handbook.

5.7 Selection of External Reviewers for Promotion/Tenure

The Department Chair and Physics FAC will choose evaluators from the candidate's list of potential reviewers. In addition to these names, the Department Chair and Physics FAC will identify at least five independent professionals who must be external to UAB (external to the Department in the case of NTE faculty), who are associated with the candidate's field but are not part of the candidate's list, from whom letters of evaluation will be solicited. The potential reviewers will be selected for their standing in the field and for their detachment from the candidate, i.e., thesis/dissertation advisors, post-doctoral mentors, and former students should not be considered. Sufficient number of Letters of Evaluation from independent reviewers not suggested by the candidate need to be solicited, so that at least three of these independent Letters of Evaluation are received from external reviewers. All evaluators must have scholarly credentials equivalent to, or above, the faculty rank and classification under consideration. For tenure-track or tenured faculty candidates, all evaluators must be external to the University. For non-tenure-earning faculty candidates, evaluators may include UAB faculty outside of the Department. To cope with potential conflicts of interest, the chair and FAC should include in their request to all potential letter-writers that they identify any conflict and withdraw their consideration if a conflict exists. The final list of reviewers selected will not be shared with the candidate.

All reviewers will be emailed the curriculum vitae and the one-page research narrative provided by the candidate (or teaching and scholarship one-page narratives as appropriate in the case of NTE), along with a letter requesting comments on the quality and impact of the candidate's research (or teaching and scholarship as appropriate in the case of NTE), the recognition that the candidate has achieved in the field (or effectiveness and innovation in teaching and scholarship as appropriate in the case of NTE), and the candidate's potential for future excellence. In the case of

non-tenure-earning faculty, the reviewers will evaluate the candidate's professional performance in teaching and scholarship (as appropriate; research in the case of Research NTE) after taking into consideration the candidate's duties and workload percentages distributed among teaching, scholarship, and service, as stated in the appointment letter or other written documents. In the case of tenure-track faculty, the reviewers will also be asked to comment on the probability of the candidate being awarded promotion and tenure at their institution and at other universities of similar stature as UAB. The one-page narratives, curriculum vitae and cover letter will be emailed to all selected reviewers. Upon receipt, letters from reviewers will be placed in the candidate's application file, where they will remain confidential. A copy of a sample letter sent to the reviewers will also be included in the application package.

5.8 Review Process for Promotion and Tenure

When all of the candidate's materials have been assembled, the Physics FAC will complete its review of the application for promotion or promotion and tenure and forward its recommendation to the Department Chair. Any member of the FAC who cannot attend the meeting can choose to submit his or her review in writing to the FAC chair. A simple majority of the eligible voting membership favoring awarding tenure and/or promotion will be considered as a positive recommendation. Votes must be secret ballots and tenure must be voted separately from promotion. The Department Chair will then write his/her own recommendation letter and notify the Physics FAC of his/her recommendation. The entire application package, along with both of the above recommendations, will be forwarded to the CAS Dean for further consideration according to UAB and CAS policies. The candidate will be informed of the decision on his/her application according to UAB and CAS procedures and regulations.

Each candidate will be judged by the criteria outlined in the UAB, CAS, and departmental Faculty Handbooks in the areas of teaching, scholarship, and service 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 Department of Physics. Each candidate shall be evaluated in these areas by the FAC as well as by the external reviewers.

The process for promotion of non-tenure earning faculty who have undergone a biennial evaluation within the previous two years will follow the same procedure as outlined in this section. Each candidate shall be judged by the criteria outlined in the UAB, CAS, and departmental Faculty Handbooks in the areas of teaching, scholarship, and/or service in proportion to their relative importance to the academic rank of the promotion, to the type of appointment held by the faculty member, and to the program priorities of the Department of Physics. In accordance with the UAB Faculty Handbook, a minimum of three letters of evaluation of the candidate's promotion application will be provided from reviewers external to UAB who are qualified to review the candidate's qualifications.

Timeline for Promotion and/or Tenure (Note: The candidate must also consult the current CAS and UAB Faculty Handbooks)

May 15: Candidate informs Department Chair of his/her intent to apply for promotion or promotion and tenure as applicable during the next academic year

June 1: Department Chair submits all names of the Department's candidates to the CAS Dean's Office (**Hard CAS deadline**)

September 15: Candidate submits curriculum vitae, one-page narratives, and evidence of teaching effectiveness, including teaching evaluations and student comments, to the Department Chair for review by Physics FAC. Candidate also submits their list of potential reviewers

October 1: Curriculum vitae, one-page narratives, and evaluation request letter are sent to the selected reviewers by Department Chair and/or Chair of Physics FAC

November 15: Candidate submits complete application package to the Department Chair

February 1: Department forwards the entire application package, including all material collected from candidate, Physics FAC, and Department Chair, to the CAS Dean (**Hard CAS deadline**)

5.9 Procedure for Forwarding the Review File to the CAS Dean and CAS P&T Committee

The Chair shall forward the candidate's application and documentation together with both recommendations from the FAC and Department Chair to the CAS Dean by February 1. If the recommendations from the FAC and the Chair are both negative, the applicant may request in writing that his/her application not be forwarded to the Dean for further review and that the tenure process be stopped.

5.10 Supplementing and Updating the Review File

The candidate may submit additional documents to update his/her package up to four working days prior to the February 1 hard deadline for departmental submission to CAS. In case there are updates to the tenure candidate's tenure documents, the candidate shall notify the FAC chair in writing and provide the updated materials. The FAC chair will then update the binder (if still under FAC review) and/or inform the Chair about the update.

5.11 Procedure for Forwarding of the Review File to the Provost

The Dean's office will forward the review file to the Provost.

6. Criteria and Standards for Promotion, Tenure, or Appointment

6.1 Professional Expectations for Non-Tenure-Earning Faculty

Non-tenure-earning (NTE) faculty appointments may be conferred on faculty whose responsibilities are less broad across the three missions as compared to tenure earning or tenured faculty. NTE faculty may be appointed for specific terms of up to five years. Such appointments may be renewed without any maximum time in rank, as described in the UAB Faculty Handbook. A non-tenure-earning appointment does not carry with it the assurance of reappointment beyond the current appointment period. However, the policies governing notice of non-reappointment

apply to all non-tenure-earning appointments. Such appointments are renewed subject to satisfactory performance, program needs, and availability of funding. Non-tenure-earning faculty appointments in the Department of Physics include faculty ranks with or without the additional descriptive term of Research. In all cases, NTE faculty duties and workload percentages with respect to the teaching, scholarship, and service missions must be specified in the appointment letter of the individual faculty. The descriptor Research designates a faculty member whose primary responsibility is conducting research. These individuals are typically paid fully from grant or contract funds as described in section 4.5. NTE faculty with an emphasis on teaching are primarily responsible for assisting in the educational mission. An NTE faculty may secure external funding that supports the educational mission. In this case, they may also be involved in scholarship activities defined in section 6.1. Workload percentages that define the distribution between teaching, scholarship and service efforts should be stated in the appointment letter or other written documents.

Non-tenure-earning faculty are evaluated by using the same categories of teaching, scholarship, and service departmental missions as are tenure-track and tenured faculty. However, excellence needs to be demonstrated only in teaching (or only in research in the case of Research NTE). Competence must be demonstrated across all the three missions of teaching, scholarship, and service as appropriate based on the workload percentages of the individual NTE faculty. Excellence means outstanding performance. Competence means satisfactory performance in all areas required by the position description and the appointment letter or other written documents. Promotion criteria for non-tenure-earning faculty differ from those of tenure-earning or tenured faculty so as to be based on the assigned proportional effort in teaching, scholarly activities, and service. Individuals initially appointed to the non-tenure-earning faculty may be later appointed to a tenure-earning faculty position as described in the UAB Faculty Handbook. This will depend, in part, upon the availability of a tenure-track position and the faculty member's anticipated future role in the Department.

Excellence in Teaching: All faculty with a focus on teaching are expected to strive for excellence by employing high-impact practices and learning activities that engage students inside and outside the classroom. Excellence in teaching consists of instruction and development of pedagogical methods that inspire students in ways that make a sustained, positive influence on their learning outcomes and self-efficacy. Evidence of teaching excellence that meets the standards of Discipline-Based Education Research (DBER) will also be considered. NTE faculty are expected to have a sound knowledge of the discipline, as well as the ability to convey concepts, motivate students, and provide encouragement to overcome difficulty in student learning, including innovative uses of emerging educational technologies. The Department recognizes that student evaluations are not always a good measure of effective teaching when new approaches to the classroom or emerging educational technologies are undertaken. In such cases, it is expected that the faculty will provide multiple forms of assessment to evaluate teaching effectiveness (e.g., data related to student outcomes or classroom observation). Documentation of such practices and their

effectiveness will be valued during promotion considerations. Excellence in teaching also reaches beyond the classroom, so faculty may include activities outside the classroom that meet the departmental strategic objectives for the teaching mission, or include university-wide initiatives. Some of these activities may also blend into the service mission, but will also be considered in the discussion of teaching excellence when responsibility for instruction is a part of the activity. Other activities that can fulfill expectations for excellence in teaching include, but are not limited to, distance-accessible courses, training and supervising of teaching assistants, experiential learning, or coordination of multi-section courses and labs.

Excellence in Scholarship: There are four different types of scholarship: (1) *scholarship of discovery-research* (build new knowledge through traditional research, required only for Research NTE and tenure track/tenured faculty); (2) *scholarship of teaching* (for example, study teaching models and practices to achieve optimal learning, use educational models, theories, and/or practices that stimulate active learning or distance-accessible learning, incorporate emerging educational technologies into traditional learning and evaluate their effectiveness, etc.); (3) *scholarship of integration* (for example, interpret the use of knowledge across disciplines, e.g., prepare a comprehensive literature review, write a textbook for use in multiple disciplines or applicable to different majors, design and deliver a core curriculum course, etc.). By integration, we mean, for example, making connections across disciplines, placing physics in a larger context, illuminating educational data in a revealing way, or educating non-specialists; (4) *scholarship of application* (for example, aid society and local communities in addressing problems, e.g., broad STEM workforce development in Birmingham and Alabama etc.). The scholarship of application uses knowledge to improve a service-related issue. For example, a faculty member may use a published comprehensive literature review as a foundation for developing an evidence-based approach to STEM workforce development. Scholarship of integration and application can be viewed as both service and scholarship of teaching. Evidence of scholarship may be demonstrated in various ways. In all cases, dissemination of scholarship may be achieved through traditional publication outlets, conference or workshop presentations, or through any other channel that allows for scholarly impact to be documented.

NTE faculty focusing on the scholarship of teaching are to maintain a program that demonstrates continuous intellectual engagement in the improvement of Science, Technology, Engineering, Mathematics, and Medicine (STEMM) education. Evidence of this engagement is expected. For example, faculty may engage in scholarship aimed at enhancing the quality and effectiveness of STEMM or STEAM education by integrating emerging educational technologies into traditional learning approaches, or involving programs that address the recruitment or retention of students in STEM disciplines. Other types of scholarly activities include STEM workforce development at different levels, the development of new and innovative courses, new curriculum using emerging educational technologies, etc.

NTE faculty focusing on the scholarship of discovery will usually carry the additional descriptive

term of Research. They should acquire, or assist with acquiring, extramural funding to support their research, publish peer-reviewed articles and abstracts, present papers, and demonstrate the capability to mentor graduate and undergraduate students. The above efforts should be of sufficient quality and quantity similar to tenure-track or tenured professors at the same rank as the NTE. In the case of Research NTE faculty, 100% of their salary must usually come from grants and contracts (see section 4.5).

6.2 Criteria and Standards Applicable to each Physics Faculty Rank

Tenure and promotion are not to be considered as expectations for years of service, but rather as awards for significant performance and recognized contributions to the mission and strategic objectives of the Department of Physics, the University, and beyond. Promotion is dependent upon meeting the criteria for the next rank, as well as meeting the criteria at the individual's current rank. It is expected that members of the faculty will become more effective in the three missions of teaching, research, and service with increasing experience. Therefore, the criteria for promotion become progressively more advanced at each rank. The award of tenure indicates not only consistent and significant past performance, but also the indication of potential for continuing significant contributions that impact the Department, University, discipline, and profession. The quality, importance and impact of scholarly contributions is emphasized.

All full-time tenure-earning, tenured, and non-tenure-earning faculty members at the ranks of Assistant Professor and Associate Professor may be eligible for promotion. Eligibility of an Instructor to apply for an Assistant Professor (NTE) position at UAB usually includes a Ph.D. degree. Consistent with the UAB Faculty Handbook, eligibility for promotion to the next faculty rank requires service at the prerequisite faculty rank at UAB, or equivalent service elsewhere. The expected level of excellence in teaching, research/scholarship, and service increases for each higher academic rank. For the academic ranks of tenure-track assistant professor and tenured associate professor, demonstrated excellence and impact in both the research and teaching missions is expected, with secondary consideration given to excellence in service. Competence is expected in all of the three missions. For non-tenure-earning faculty ranks, the emphasis is put on excellence in a single area, teaching or research, based on the duties specified in the appointment letter. The Department of Physics recognizes that the standards of excellence must continually be upgraded as national standards become more demanding. Thus, it is not sufficient that Physics faculty being considered for appointment, promotion, and/or tenure attain levels of excellence comparable to existing Physics faculty at similar status or rank, but the quality and quantity of performance must improve steadily if the Department of Physics is to fulfill its vision and mission.

6.2.1 Tenure-Track (TT) Assistant Professor

Tenure-track faculty support the core missions of the Department, College, and University related to teaching, research, and service. Teaching is a fundamental responsibility. A strong commitment to the educational aspect of the Department's mission and the development of effectiveness in teaching performance is expected. TT faculty participate in teaching of both graduate and

undergraduate classes in support of the Department's instructional needs and strategic objectives. TT faculty are also expected to supervise and mentor post-doctoral fellows and graduate and undergraduate students and to provide them with research opportunities and experiential learning experiences. TT faculty are primarily responsible for research activities in support of the research objectives of the Department, College, and UAB. They are expected to establish and lead a vigorous, nationally and internationally recognized research program. They must engage in research activities documented by, e.g. peer-reviewed publications, conference and university colloquium presentations, external funding, and external service activities. Physics TT faculty members are required to actively seek external funding to support their research program through federal and private funding sources. Every TT faculty member is also expected to participate in regular service activities consistent with his or her professional role. These service activities fall into the broad categories of service to the Department, service to UAB, service to the profession, or service to the community.

6.2.2 Tenured Associate Professor

A candidate for a tenured Associate Professor faculty appointment should already have attained significant levels of achievements in teaching, research, and service. They should have demonstrated excellence in undergraduate and graduate teaching, in curricular development, in student advising, in supervising individual student work, and in the preparation of instructional materials appropriate to the discipline and the courses taught. In scholarship, a candidate for the rank of tenured associate professor should already have developed a continuous program of publication that has made important contributions to knowledge in his/her field and has already gained substantial favorable national and international attention from scholars in his/her field. The candidate should provide evidence of high-quality scholarly activity pertaining to his/her field, such as publication of papers in high impact journals, presentation of papers to important national and international conferences, publication of presentations in conference proceedings, invited talks, etc. They should have successfully obtained grant support after external review by peers or officials of granting agencies, with a strong likelihood of continued funding. Finally, a record of service to one's discipline and/or Department is expected.

6.2.3 Tenured Full Professor

A candidate for a tenured full Professor faculty appointment should be widely recognized within the University and his/her discipline for quality in research and teaching. The candidate should have attained national and international recognition in both of these areas. The breadth and magnitude of performance are the main characteristics that distinguish the rank of full professor from the rank of associate professor. Effective teaching at all levels, including successful curricular development, quality course materials, and effectual student training should have been demonstrated. In scholarship, the candidate should have already made extensive contributions to knowledge in his/her field that is widely recognized by peers as advancing learning in the discipline and has been extensively used by other scholars in the field. Moreover, there should be strong evidence that the candidate's research activities will continue to be supported by external

grants and funding agencies. In service, a candidate for full professor should have served repeatedly and productively in significant positions/committees in the Department, College and/or University. They should have demonstrated leadership and initiative both inside and outside of the department.

6.2.4 Instructor

An instructor is the designation for someone whose primary role is to engage with the teaching mission. The Department of Physics prefers that persons hired as Instructors have a Ph.D. degree and relevant teaching experience in the discipline. There is no maximum time in rank for a non-tenure-earning Instructor. Annual Chair's evaluations communicate to instructors opportunities for professional growth, provide feedback on their achievements and recognize their value and contributions to the University. In addition to a Ph.D. degree, performance criteria within the rank of Instructor that determine possible consideration for an NTE assistant professor position include:

- Excellence in teaching (section 6.1)
- Attention to pedagogy and best methods and practices in the discipline
- Assessment strategies which encourage learning outcomes and student growth
- Significant contributions to curricular and/or course development
- Development and/or use of innovative educational technologies
- Service to the Department, College or University in the form of committee membership, curricular innovations, administrative roles, or enhancement of student life on campus

6.2.5 Research Assistant Professor (Non-Tenure Earning)

Research NTE Assistant Professors have the primary mission of conducting research. The criteria for excellence in focused scholarship of discovery are the same as the scholarly expectations for tenure-track faculty (see section 6.2.1). Competence in the mission of teaching may be demonstrated, for example, by the mentoring of graduate and/or undergraduate students or by teaching labs. Service is a secondary mission, where the non-tenure-earning faculty may, for example, serve on school and/or departmental committees. This position must usually be fully funded from grants and contracts, although the NTE need not necessarily be the Principal Investigator on the grants or contracts. Non-tenure-earning faculty are governed by the policies and procedures in the UAB Faculty Handbook. See also section 4.5. There is no maximum time in rank for a Research NTE Assistant Professor.

6.2.6 Assistant Professor (Non-Tenure Earning)

To be considered for appointment as an Assistant Professor (Non-Tenure-Earning) with emphasis on teaching, a candidate must usually have a minimum of two years of full-time teaching experience at the university level, at or above the Instructor rank. Candidates for such an NTE faculty rank are required to provide documentation of teaching expertise and/or experience in curricular development. While scholarship activities will be considered for appointment as NTE Assistant Professor, the main focus of the evaluation will be on teaching and/or curricular

development. External letters from evaluators are required. There is no maximum time in rank for an NTE Assistant Professor.

6.2.7 Research Associate Professor (Non-Tenure Earning)

Research NTE Associate Professors have the primary mission of conducting research. The criteria for excellence in focused scholarship of discovery are the same as the scholarly expectations for tenured associate professors (see section 6.2.2). Competence in the mission of teaching may be demonstrated, for example, by the mentoring of graduate and/or undergraduate students or by teaching labs. Service is a secondary mission, where the non-tenure-earning faculty may, for example, serve on school and/or departmental committees. This position must usually be fully funded from grants and contracts, although the NTE need not necessarily be the Principal Investigator on all of the grants or contracts that provide funding. Non-tenure-earning faculty are governed by the policies and procedures in the UAB Faculty Handbook. See also section 4.5. There is no maximum time in rank for a Research NTE Associate Professor.

6.2.8 Associate Professor (Non-Tenure Earning)

To be considered for promotion to, or appointment as, an Associate Professor (Non-Tenure-Earning) with emphasis on teaching, a candidate should normally have five years of full-time experience in teaching at the university level, at or above the Assistant Professor level. Candidates are required to provide documentation of teaching expertise or experience in curricular development. They should demonstrate that they have made a substantial instructional impact. Finally, they should provide evidence for engagement in scholarship as defined in section 6.1. External letters from evaluators are required. There is no maximum time in rank for a non-tenure-earning Associate Professor.

6.2.9 Research Full Professor (Non-Tenure-Earning)

Research NTE Full Professors have the primary mission of conducting research. The criteria for excellence in focused scholarship of discovery are the same as the scholarly expectations for tenured full professors (see section 6.2.3). Competence in the mission of teaching may be demonstrated, for example, by the mentoring of graduate and/or undergraduate students or by teaching labs. Service is a secondary mission, where the non-tenure-earning faculty may, for example, serve on school and/or departmental committees. This position must usually be fully funded from grants and contracts, and the NTE must have demonstrated the ability to win grants as a PI, in addition to being a co-PI in grants with collaborators. All non-tenure-earning faculty are governed by the policies and procedures in the UAB Faculty Handbook. See also section 4.5. External letters from evaluators are required. There is no maximum time in rank for a Research NTE Full Professor.

6.2.10 Full Professor (Non-Tenure-Earning)

To be considered for promotion to, or appointment as Full Professor (Non-Tenure-Earning) with emphasis on teaching, a candidate should normally have at least ten years of full-time experience at the university level, or five years at or above the Associate Professor level. Candidates for Full

Professors are required to provide documentation of a high level of teaching expertise, including advancements in teaching and curricular development. Candidates should demonstrate that they have made a substantial instructional impact. Finally, they should provide evidence for excellence in scholarship as defined in section 6.1. External letters from evaluators are required. There is no maximum time in rank for a non-tenure-earning Full Professor.

6.3 Example activities considered by the FAC for evidence of excellence

Below are some examples of the evidence considered by the FAC when evaluating a candidate for tenure and/or promotion:

6.3.1 Teaching:

In teaching, excellence is usually demonstrated by excellent methods of pedagogy that serve the University's student body and by high levels of learning by the students who are taught. Excellence in teaching shall also be judged by other contributions that lead to effective learning. Examples of evidence for teaching activities include, but are not limited to:

1. Teaching effectiveness

- teaching evaluations and student comments
- peer evaluations based on classroom observations
- various measures of student learning
- performance of students taught: grades in subsequent courses; quality of master's theses, doctoral dissertations, and other student published materials, advancement to graduate programs, and success in obtaining scholarships, fellowships, internships, and employment
- effective one-on-one mentoring of students (*vs.* traditional classroom format), such as through training and guidance of graduate and undergraduate students
- prizes, awards, and similar accolades recognizing the quality of the teaching contributions and teaching effectiveness
- direction of B.S. Honors theses, M.S. theses, Ph.D. dissertations
- membership on honors thesis, M.S. thesis and Ph.D. dissertation committees
- published student materials or other evidence of superior student performance
- participation in quality assessment and accreditation of academic program

2. Versatility

- course and curriculum development
- successful employment of new methods of pedagogy
- effective uses of innovative educational technologies
- development and implementation of new courses
- initiation of effective innovation(s) in existing course(s)
- demonstrated ability to teach courses at different levels, with differing class sizes, and in various subject areas
- efforts to improve teaching effectiveness through feedback, adaptation to new

technologies and teaching environments, and participation in training offered by, e.g., the Center for Teaching and Learning

3. Publications/Presentations

- articles in journals dedicated to teaching
- textbooks and other published instructional materials (reputation of publisher to be considered)
- contributed and invited oral presentations on pedagogy
- attendance at lecture and workshop demonstrations for professional development
- unpublished instructional materials, including lab manuals, etc.

6.3.2 Scholarship:

Excellence in the scholarship of discovery (research) is required for tenure-track, tenured and Research NTE faculty. Excellence is demonstrated by contributions to knowledge that reach at least the same levels of magnitude, quantity, and importance as is expected of faculty in similar disciplines at other national doctoral Research Universities—Very High Research Activity (RU/VH, R1) as designated by the Carnegie Foundation. In general, evidence of scholarly achievement means the establishment of a significant on-going and nationally recognized research program at UAB. For NTE faculty with emphasis on teaching, three different types of scholarship usually apply, depending on the duties specified in the letter of appointment: scholarship of teaching, scholarship of integration, and scholarship of application (see section 6.1. for definitions). Scholarship of discovery may also apply, e.g., in the form of DBER.

Examples of evidence for scholarship activities include, but are not limited to:

1. Publications

- peer-reviewed journals
- invited articles and reviews
- refereed and unrefereed conference proceedings
- book chapters
- recognition of scholarly work including prizes, favorable reviews, citations, and similar awards recognizing the quality and importance of scholarly contributions
- press coverage of published works
- patents

Factors to be considered include rating and reputation of the journal/conference, extent of the contribution, publication record – frequency and rate, citations.

2. Presentations

- invited and contributed oral and poster presentations at national and international professional conferences/meetings
- oral and poster presentations at regional and local conferences
- invited colloquia and seminars at scholarly institutions

Factors to be considered include reputation of the conference/institution/meeting, invited-vs.-contributed presentation, oral-vs.-poster presentation; actual presenter (presentation given by the applicant or student will be weighed more heavily than one given by a colleague)

3. Grant and contract support for research activities

- Extramural grants, contracts, awards, and fellowships in support of research activities. The scope of the project, the continuity or likelihood of continuity of funding, and the prestige of the funding source will be considered
- Internal grants to support scholarship and research (less weight)

4. Grant and contract support for educational activities

- grants and/or fellowships for curricular development, physics education research, student training, and STEM workforce development.
- internal grants related to teaching

5. Awards and Prizes

- awards and prizes from professional societies and other organizations for research and scholarship activities

Factors to be considered include level of participation, scope of the project, continuity or likelihood of continuity of funding, competitiveness of funding source, amount and duration of funding. Funding from extramural sources will generally be more heavily weighted than funding from internal sources. However, internal funding will be considered as significant when competitiveness and funding levels are exceptional.

6.3.3 Service:

All faculty are expected to provide professional service to the Department, the College, the University, the profession, and/or the community. Individuals may contribute in multiple ways, in a manner befitting their rank, experience, and interests. Excellence in service activities is measured more by the value of the faculty member's contribution to the Department and University, the well-being of the community, and/or the advancement of his/her profession, rather than strictly by the number of service activities undertaken. For each individual activity, distinction shall be made between very important and nominal service assignments, between extended and brief service, between regular and erratic participation, and between effective and ineffective involvement. Initiatives in recognizing needs and proceeding to meet those needs will be considered as an important aspect of service. Service activities may blend with the scholarship of application. Additional professional responsibilities, e.g. program coordination, Chair of Departmental committees, significant recruitment activities, University-level appointments, etc., can also be used. Examples of evidence for service activities include, but are not limited to:

- Participation in recruitment activities of new undergraduate or graduate Physics students
- Effective and collegial participation in departmental, College, and University

committees

- Advising of student organizations and/or societies
- Participation as member of thesis or dissertation committees for students of other departments and at other universities
- Professional presentations for benefit of K-12 schools, civic groups, businesses, and other organizations
- Professional service to governmental committees and professional organizations and associations
- Service on federal or private grant or award review panels
- Peer review of journal manuscripts and grant proposals
- Service as an editor or member of the editorial board for a journal or conference proceeding, or as an officer in a professional group for journals or funding agencies
- Organizing and/or directing professional meetings, conferences and programs
- Contributions to area K-12 schools that improve the education and capabilities of students entering UAB and other universities
- Outreach to broader communities and the local communities in Birmingham and Alabama
- Service as officer in a professional scientific society

7. Faculty Workload Policies

Course teaching loads are determined by the Department Chair. They seek to provide an equitable workload, by supporting the department's academic needs and strategic objectives in both undergraduate and graduate course work while at the same time managing research and scholarship expectations for faculty. In making teaching assignments, the nature of the faculty member's appointment, together with his/her teaching, research, mentoring, and service activities, as well as departmental needs, are considered. A primary goal of implementation is to optimize Physics workload policies in order to ensure that all departmental obligations are met within the resources available and/or allocated. Reductions in the normal teaching loads described below may only be considered in special cases of new faculty appointees, or if the equivalent salary percent reduction from the normal teaching load can be offset from research grants or other non-departmental sources (buy-outs).

7.1 NTE Faculty with emphasis on Teaching:

The normal teaching load for a non-tenure-earning faculty member with emphasis on teaching is three courses per semester. Coordination of laboratories that accompany lecture courses in a sequence is considered as a course assignment, as is in-class, distance-accessible, or online course development that meets the department's strategic objectives and needs. In determining workload assignments, the Chair will consider class enrollment, supervision of teaching assistants and recitation sections, scholarship of teaching/integration/application activities, and number of classroom and laboratory sections for which the faculty member is responsible for assigning

grades. The workload percentages stated in the NTE appointment letter will be considered when making teaching assignments.

7.2 Research-active Tenured and TT Faculty

A tenured faculty member is viewed as research-active when they have sufficient (i.e., consistent with Departmental expectations and norms) active extramural grant support as Principal Investigator (if co-PI, status is determined by the effort reporting). In addition, they must have a sufficient number of submitted grant proposals as PI or co-PI seeking extramural support, a sufficient annual level of publications in high impact peer-reviewed journals in the faculty's research area, and demonstrated sufficient mentoring of postdoctoral fellows, graduate students, and/or undergraduate Physics majors. In keeping up with the norms for physics departments nationwide, research-active tenured faculty and tenure-track faculty have a normal teaching load of one course per semester (1+1), which includes both graduate and undergraduate classes. This workload is comparable to that in similar-sized Physics departments in Doctoral/Research Universities-Very High Research Activity (R1 according to Carnegie classification).

7.3 Tenured Faculty that are not funded:

Tenured faculty who have a history of research activity as defined by the metrics listed for Research-active Tenured Faculty, but whose research funding has declined over a several year period, are subject to having their teaching assignments increased to up to three courses per semester based on departmental needs.

8. Summer Pay Policies

Department of Physics faculty are typically hired and contractually compensated on the basis of a 9-month academic year. Summer teaching is not required, nor are summer teaching assignments guaranteed to 9-month UAB faculty. The Department of Physics offers several courses during the summer semester. However, summer budgets are independent of the regular academic year budget provided by the College, and the number of courses that can be offered depends on the number of credit hours generated during the summer. Compensation to faculty for teaching summer classes is governed by the College of Arts and Sciences summer salary policies. The following policies are used by the Department of Physics Chair when assigning summer teaching appointments of Physics faculty:

1. All faculty salaries and fringe benefits paid for teaching during the summer semester are required to be covered solely by student tuition generated by summer credit hour production.
2. Faculty are able to earn up to 1-month salary for teaching a 3- or 4-credit course
3. Faculty are able to earn up to 1-month salary for coordinating a laboratory sequence
4. Summer teaching appointments are made by the Department Chair. Highest priority for summer teaching opportunities will be given to non-tenure-earning faculty

9. Adoption and Changes to *Physics Faculty Handbook*

The guidelines as described here will become effective when adopted by a two-thirds majority vote of the voting membership of the Physics FAC and after receiving the necessary approval of Department Chair, the CAS Faculty Affairs Committee, and the Dean of the College of Arts and Sciences. The guidelines may be subsequently amended, in any way consistent with the current UAB and CAS Faculty Handbooks, by a two-thirds majority vote of the voting membership of the Physics FAC.

The fully-approved and updated Physics Faculty Handbook is accessible online to all faculty.