

University of Alabama at Birmingham
College of Arts and Sciences
Department of Biology
Faculty Policies and Procedures Handbook

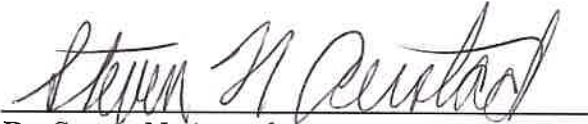
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10 Dec 2020

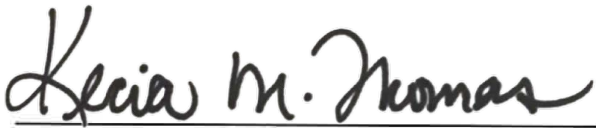
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FACULTY HANDBOOK

Department of Biology

10 December 2020

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Overview

The Department of Biology has adopted policies and guidelines in specific areas that further clarify or expand upon the guidelines and procedures elaborated in the UAB Faculty Handbook and Policies. These areas are: 1) Promotion and Tenure of Tenure-Earning Faculty; 2) Appointment and Promotion of Non-Tenure-Earning Faculty; 3) Expectations, Rights, and Privileges of Non-Tenure-Earning Research Faculty; 4) Merit Review; 5) Summer Pay; 6) Faculty Workload; 7) New Faculty Mentoring Program; and 8) a list of current Departmental standing Committees. The specific policies and guidelines adopted by the Department as regards these areas are set forth in this document. This handbook will be available to all faculty members in digital form.

In all areas, the Faculty Handbook of the Department of Biology adheres to the UAB Faculty Handbook and Policies and the CAS Faculty Handbook.

Role and Mission

Role: The Department of Biology aspires to be a leading contributor to the understanding of biological systems through research, instruction, and service.

The Mission of the Department of Biology is to benefit the citizens of Alabama and people beyond the state through excellence in research, teaching, and service. The Department is committed to: 1) contributing to the fundamental understanding of biological processes through research across diverse sub-disciplines of biological science, 2) promoting an appreciation of organisms and their environments through quality instruction to prepare undergraduates, graduate students, and postdoctoral associates for careers in basic or applied biological sciences, health-related professions, or teaching, and 3) serving our community, state, and world through the application of biological knowledge to address human and environmental needs.

Part One: Faculty Promotion and Tenure Policies and Procedures

I. Introduction

The purpose of Part One of this document is to provide guidelines that are to be followed within the Department of Biology in making recommendations for promotion and/or tenure of a tenure-earning faculty member and promotion of a non-tenure-earning faculty member. These guidelines will be in accordance with the most recent College of Arts and Sciences (CAS) Faculty Handbook and with the most recent UAB Faculty Handbook and Policies which all candidates for promotion and tenure should review. The rights and responsibilities of the faculty are as defined in the most recent versions of the UAB Faculty Handbook and CAS Faculty Handbook.

II. Promotion and Tenure of Tenure-earning Faculty

A. Eligibility

The policies of the Department with respect to eligibility criteria and requirements for promotion with tenure are as defined in the most recent CAS Faculty Handbook and as defined in the most recent UAB Faculty Handbook and Policies.

B. Mechanisms

Typically, applications for tenure and promotion will be evaluated during the sixth year of the initial faculty appointment. However, tenure-earning faculty with outstanding Scholarship, Teaching, and Service qualifications may submit an application for evaluation of promotion and tenure earlier (within university minimum time-in-rank requirements). Requests for consideration for promotion and tenure or promotion must be sent to the Department Chair no later than May 1 such that the Chair can inform the Dean of the individual's intention no later than June 1 of each academic year. The candidate should provide a list of recommended external reviewers, as described below, no later than June 1. All materials required from the candidate must be submitted to the Chair no later than July 31. The Department Chair shall submit applications to the Department Promotion and Tenure Committee no later than September 1 of each year. The Committee, which consists of all tenured full-time professors and tenured associate professors, excluding the Department Chair and anyone serving in a full-time administrative role at the College level or above, shall meet to discuss the application and provide a formal recommendation letter to the Chair before January 1. All of the Promotion and Tenure Committee members may be present during the deliberations, however, only those Committee members at or above the rank for which an individual is under consideration for promotion have voting rights. The recommendation of the Department Chair, together with the recommendation of the Department of Biology Promotion and Tenure Committee, must be transmitted to the Dean of the CAS no later than February 1 of each year.

C. Preparation of Documentation for Promotion and Tenure

The individual applying for tenure and/or promotion is responsible for collection and preparation of documents in support of his/her application. Documentation shall be organized under the following headings in accordance with the instructions from the office of the Provost. All sections should clearly designate work completed since appointment to current rank, before appointment to current rank, or a combination thereof. In general, such documentation shall include:

Binder for submission to Office of Dean and Office of Provost

1. Promotion/tenure action summary form
2. Unit promotion and tenure guidelines
3. Curriculum vitae, including professional experience, scholarly activities, and publications, clearly designating publications that are peer-reviewed or non-peer reviewed. The curriculum vitae should also summarize teaching and service activities, as detailed in the sections described below.
4. Recommendation letters – Departmental Promotion and Tenure Committee letter and Department Chair letter
5. Evidence of Teaching Effectiveness - a statement of teaching philosophy; a listing of courses taught in each year and term in tabular format, including course number and name, distributions of grades, and numbers of students enrolled; numerical results of university sanctioned/administered student evaluations in a tabular format; copies of peer reviews of teaching; and from each course, a sample of syllabi and examinations. Written student comments may be included, but if only a select subset is included, that should be clearly indicated.
6. Evidence of Scholarly Activity – a statement of scholarly philosophy; a list of all publications as in the curriculum vitae; a list of all students mentored at the undergraduate, graduate, postdoctoral, or other levels; a list of presentations, indicating presenting author, and subdivided by invited and contributed; a list of all grant proposals grouped by intramural vs. extramural, by activities such as research, teaching, or outreach, and by funding status including proposals funded, proposals currently pending, and proposals submitted but unfunded. All proposals listed should clearly provide details such as the role of the candidate in

the project (PI, co-PI, etc.), percent effort, and the specific dollar amounts awarded to the Department of Biology as direct and indirect costs.

7. Evidence of Service activities both intramural and extramural
8. External Review Letters - The individual faculty member shall provide a list of three to six appropriate evaluators to the Chair to facilitate the request of supporting letters. The Chair will solicit and provide at least three (as required by the UAB and CAS Faculty Handbooks) and preferably six supporting letters from persons outside the University. Some of the supporting letters should be from persons not on the candidate's list. Typically, letters will be from faculty of comparable or higher rank than that which the candidate is applying for and will be from faculty at peer or aspirant institutions. Evaluators should not be close friends of or recent collaborators with the candidate.
9. Annual and Biennial Reviews - including both annual reviews by the Chair and biennial reviews by the Promotion and Tenure Committee

Additional material for departmental review (separate binder)

1. Copies of all grant proposals submitted
2. Copies of all publications and professional papers listed in the curriculum vitae
3. Other letters and materials as needed and appropriate

D. Biennial Review

In accordance with the most recent CAS Faculty Handbook and the most recent UAB Faculty Handbook and Policies, assistant professors shall be reviewed biennially for progress toward promotion and/or award of tenure. The Chair shall request the faculty member to provide information to document activities in the areas of scholarship, teaching and service in the format outlined above. This documentation shall be forwarded to the Promotion and Tenure Committee for review. The results of the review of the Committee shall be transmitted to the Chair. The results of this review, together with recommendations from the Chair, will be provided to the faculty member and the Dean of CAS.

In accordance with the most recent CAS Faculty Handbook and the most recent UAB Faculty Handbook and Policies, associate professors and professors without tenure shall also be reviewed biennially, until tenure is granted. This review will typically be performed by the Chair and by the Promotion and Tenure Committee. Documentation of activities in the areas of scholarship, teaching, and service would typically be those submitted by the faculty member for the Department annual reports. However, additional documentation of teaching evaluations may also be submitted.

E. Criteria

The criteria for the evaluation of individuals by the Department Promotion and Tenure Committee and the Department Chair shall conform to College and University policies that recognize three principal areas of faculty activity required for promotion and/or tenure: scholarship, teaching, and service. The evaluation of an individual faculty member's effectiveness in these areas shall be based on the most recent UAB Faculty Handbook and Policies and the most recent CAS Faculty Handbook.

1. Scholarship

Scholarly activities are interpreted to include but are not limited to:

- a. Evidence of scholarly publications;
- b. Submission and successful funding of research proposals for internal and external support;

- c. Supervision of graduate and/or undergraduate student research – includes both scholarship and teaching with long-term intense commitment;
- d. Evidence of an active research program;
- e. Participation in professional societies and meetings pertaining to an individual's scholarly activities;
- f. Presentation of invited lectures and oral or poster contributions pertaining to an individual's scholarly activities.

2. Teaching

Evidence of teaching activities may include but is not limited to:

- a. Instruction of undergraduate and graduate courses and laboratories;
- b. Participation in and/or supervision of student colloquia;
- c. Supervision of independent study, including laboratory or field research;
- d. Participation on graduate committees, including supervision of non-thesis option graduate programs;
- e. Contributions to course and curriculum development;
- f. Student ratings and evaluations of instruction;
- g. Student advising;
- h. Preparation of grant proposals for support of teaching activities;
- i. Peer reviews of teaching based on classroom observations.

3. Service

Service is interpreted to mean contributions of time, effort, and academic expertise to areas which are relevant to the University and its mission, including those outside normally assigned duties. Service to the Department, College, and University through committee work, involvement in local community activities and organizations, professional consulting, peer-review activities, and participation in professional societies are also included.

F. Standards

The policy of the Department with respect to standards for the promotion and tenure of the tenure-earning faculty is as defined in the most recent UAB Faculty Handbook and Policies and the most recent CAS faculty Handbook.

1. Standards of Scholarship

The Department of Biology expects its faculty to be actively involved in significant scholarly research. Scholarship is defined as the advancement of knowledge and understanding and consists primarily of original research and peer-reviewed publications. The Department of Biology takes into consideration the quality as well as the quantity of publications. Although the Department typically provides some financial support for scholarly activities as start-up funding, it is expected that faculty members in the Department will obtain extramural support for their research activities and the research activities of their students. The ability to succeed in peer-reviewed grant programs will be an important consideration in making judgments affecting advancement.

2. Standards of Teaching

The Department of Biology expects excellence in teaching. An excellent teacher formulates clear objectives and has a command of the subject; improves critical thinking; and delivers the material

in an effective manner that stimulates their students. An excellent teacher also establishes a high standard of student performance. Moreover, where appropriate, such a teacher conscientiously provides helpful guidance to research projects of both graduate and undergraduate students and critically examines and evaluates such research projects. The pre-tenure peer review of teaching will provide feedback to achieve these standards.

3. Standards of Service

The Department of Biology expects its faculty to undertake, in a professional manner, a variety of service functions. Service is interpreted to mean contributions of time, effort and academic expertise to areas that are relevant to the University and its mission, including those outside normally assigned duties. Service to the Department, College, and University through committee work, involvement in local community activities and organizations, professional consulting, and participation in professional societies are included. Such functions should bring credit and recognition to the individual and the institution.

III. Appointment and Promotion of Non-Tenure-Earning Faculty

A. Eligibility

Non-tenure-earning faculty are eligible and encouraged to apply for promotion but it is not a requirement for the position. The policies of the Department with respect to eligibility criteria for promotion of Non-tenure-earning faculty are as defined in the most recent CAS Faculty Handbook and as defined in the most recent UAB Faculty Handbook and Policies. In the case of a non-tenure-earning faculty member, the annual evaluation of his/her professional performance shall be based on the nature of the appointment as described in the letter of appointment in the Department of Biology, and on University criteria normally used in these areas for the appropriate rank of appointment, reappointment, and promotion. The Chair shall advise, in writing, the faculty member and the CAS Dean each year regarding the performance of non-tenured faculty members and the continued need for their services. Promotion from Assistant Professor and subsequent promotions shall follow the guidelines published in the UAB Faculty Handbook and Policies. Specific criteria employed by the Department of Biology and also for each promotion level are provided below.

B. Mechanisms

Applications for promotion may be evaluated during the sixth year of the initial faculty appointment if they choose. However, non-tenure-earning faculty: 1) with outstanding teaching, and scholarship or service qualifications; or 2) significant experience from a previous position may submit an application for evaluation of promotion earlier (within university minimum time-in-rank requirements). Requests for consideration for promotion must be sent to the Chair no later than May 1 such that the Chair can inform the Dean of the individual's intention no later than June 1 of each academic year. The candidate should provide a list of recommended external reviewers, as described below, no later than June 1. All materials required from the candidate must be submitted to the Chair no later than July 31. The Chair shall submit applications to the Promotion and Tenure Committee no later than September 1 of each year. The Committee, which consists of all tenured full-time professors and associate professors, and non-tenure earning associate professors and professors, excluding the Chair and anyone serving in a full-time administrative role at the College level or above, shall meet to discuss the application and provide a formal recommendation letter to the Chair before January 1. All of the Promotion and Tenure Committee members may be present during the deliberations, however, only those Committee members at or above the rank for which an individual is under consideration for promotion have voting rights. The recommendation of the Chair, together

with the recommendation of the Department of Biology Promotion and Tenure Committee, must be transmitted to the Dean of CAS no later than February 1 of each year.

C. Preparation of Documentation for Promotion

The individual applying for promotion is responsible for the collection and preparation of documents in support of his/her application. Documentation shall be organized under the following headings in accordance with the instructions from the office of the Provost. All sections should clearly designate work completed since appointment to current rank, before appointment to current rank, or a combination thereof. In general, such documentation shall include:

Binder for submission to Office of Dean and Office of Provost

1. Promotion/tenure action summary form
2. Unit promotion guidelines
3. Curriculum vitae, including professional experience, scholarly activities, and publications, clearly designating publications that are peer-reviewed or non-peer reviewed. The curriculum vitae should also summarize teaching and service activities, as detailed in the sections described below.
4. Recommendation letters – Departmental Promotion and Tenure Committee letter and Department Chair letter
5. Evidence of Teaching Effectiveness - a statement of teaching philosophy; a listing of courses taught in each year and term in tabular format, including course number and name, distributions of grades, and numbers of students enrolled; numerical results of university sanctioned/administered student evaluations in a tabular format; copies of peer reviews of teaching if performed; and from each course, a sample of syllabi and examinations. Written student comments may be included, but if only a select subset is included, that should be clearly indicated.
6. Evidence of Scholarly Activity - at a minimum should include a statement of scholarly philosophy including how the candidate has remained current with progress in their discipline unless this is obvious from other scholarly activities the candidate has chosen to participate in. Examples of such activities are listed in the additional materials section, below.
7. Evidence of Service activities both intramural and extramural
8. External Review Letters - The individual faculty member shall provide a list of three to six appropriate evaluators to the Chair to facilitate the request of supporting letters. The Chair will solicit and provide at least three (as required by the UAB and CAS Faculty Handbooks) and preferably six supporting letters from persons outside the University. Some of the supporting letters should be from persons not on the candidate's list. Typically, letters will be from faculty of comparable or higher rank than that to which the candidate is applying for and will be from faculty at peer or aspirant institutions. Evaluators should not be close friends of or recent collaborators with the candidate.
9. Annual and Pre-Promotion Reviews - including annual reviews by the Chair and at the candidate's discretion, pre-promotion reviews, if done, by the Promotion and Tenure Committee

Additional material for departmental review (separate binder)

1. Evidence of Scholarly Activity (as applicable) – may include: a list of any publications as in the curriculum vitae; a list of any students mentored at the undergraduate, graduate, postdoctoral, or other levels; a list of any presentations, indicating presenting author, and subdivided by invited and contributed; a list of any grant proposals grouped by intramural vs. extramural, by activities such as research, teaching, or outreach, and by funding status including proposals funded, proposals currently pending, and proposals submitted but unfunded. Any proposals listed should

clearly provide details such as the role of the candidate in the project (PI, co-PI, etc.), percent effort, and the specific dollar amounts awarded to the Department of Biology as direct and indirect costs.

2. Copies of all grant proposals submitted (if any)
3. Copies of all publications and professional papers listed in the curriculum vitae (if any)
4. Other letters and materials as needed and appropriate

D. Pre-promotion Review

In accordance with the most recent CAS Faculty Handbook and the most recent UAB Faculty Handbook and Policies, non-tenure-eligible assistant professors may, at their request, be reviewed for progress toward promotion. It is recommended that this review take place two years prior to the time that the faculty member anticipates applying for promotion. The Department Chair will accept information to document activities of the faculty member in the areas of teaching, and scholarship and/or service in the format outlined above. This documentation shall be forwarded to the departmental Promotion and Tenure Committee for review. The results of the review of the Committee shall be transmitted to the Chair. The results of this review, together with recommendations from the Chair, will be provided to the faculty member.

E. Criteria

The criteria for the evaluation of individuals by the Department Promotion and Tenure Committee and the Department Chair shall conform to College and University policies which recognize three principal areas of faculty activity that will be evaluated for promotion: teaching, scholarship, and service. The evaluation of an individual faculty member's effectiveness in these areas shall be based on the UAB Faculty Handbook and Policies and in the most recent CAS Faculty Handbook. Candidates seeking promotion from non-tenure-earning Assistant Professor to non-tenure-earning Associate Professor must have achieved a record of excellence in teaching and record of excellence in either scholarship and/or service requirements in addition to minimum time-in-rank requirements. Promotion to the rank of non-tenure-earning Professor represents the highest rank that a non-tenure-earning faculty member can normally achieve and therefore should only be granted when a faculty member has achieved a record of long-term excellence in duties assigned. Candidates seeking promotion from non-tenure-earning Associate Professor to non-tenure-earning Professor must meet the above requirements and university minimum time-in-rank requirements.

1. Teaching

Evidence of teaching activities may include but is not limited to:

- a. Instruction of undergraduate and graduate courses and laboratories;
- b. Participation in and/or supervision of student colloquia;
- c. Supervision of independent study, including laboratory research;
- d. Contributions to course and curriculum development;
- e. Student ratings and evaluations of instruction;
- f. Student advising;
- g. Preparation of grant proposals for support of course development or teaching activities;
- h. Peer reviews of teaching based on classroom observations;
- i. Participation on graduate committees, including supervision of non-thesis option graduate programs.

2. Scholarship

Possible scholarly activities are interpreted to include but are not limited to:

- a. Evidence of scholarly publications;
- b. Submission and successful funding of research proposals for internal and external support;
- c. Supervision of undergraduate and/or graduate student basic, applied, or pedagogical research – includes both scholarship and teaching with long-term intense commitment;
- d. Evidence of an active basic, applied, or pedagogical research program, supported or unsupported;
- e. Participation in professional societies and meetings pertaining to an individual's scholarly activities;
- f. Presentation of invited lectures and oral or poster contributions pertaining to an individual's scholarly activities;
- g. Maintaining currency in the faculty member's scholarly discipline.

3. Service

Service is interpreted to mean contributions of time, effort, and academic expertise to areas which are relevant to the University and its mission, including those outside normally assigned duties. Service to the Department, College, and University through committee work, involvement in local community activities and organizations, professional consulting, and participation in professional societies are also included.

F. Standards

The policy of the Department with respect to standards for the promotion of the non-tenure-earning faculty is as defined in the UAB Faculty Handbook and Policies and the most recent CAS faculty Handbook.

1. Standards of Teaching

The Department of Biology expects excellence in teaching. An excellent teacher formulates clear objectives and has a command of the subject; improves critical thinking; and delivers the material in an effective manner that stimulates their students. An excellent teacher also establishes a high standard of student performance. Moreover, where appropriate, such a teacher conscientiously provides helpful guidance to both graduate and undergraduate students and critically examines and evaluates such research projects. The peer review of teaching will provide feedback to achieve these standards.

2. Standards of Scholarship

Scholarship includes the advancement of knowledge and understanding through original research and peer-reviewed publications. It also includes more informal aspects of pedagogical advancement, participation in conferences and workshops relating to pedagogy, and collaborative efforts in these areas. The Department of Biology encourages (but does not require) its non-tenure-earning faculty to be involved in pure and/or pedagogical research and its application.

3. Standards of Service

The Department of Biology expects its faculty to undertake, in a professional manner, a variety of service functions. Service is interpreted to mean contributions of time, effort and academic expertise to areas which are relevant to the University and its mission, including those outside

normally assigned duties. Service to the Department, College, and University through committee work, involvement in local community activities and organizations, professional consulting, and participation in professional societies are included. Such functions should bring credit and recognition to the individual and the institution.

IV. Expectations, Rights, and Privileges of Non-Tenure-Earning Research Faculty

A. Letter of Appointment

Typically, non-tenure-earning research faculty are appointed based on the recommendation and financial support of a tenured or tenure-earning member of the Department. In the letter of appointment the Chair should indicate the length of the appointment, the expectations related to the source of salary (i.e., grants), and the provision of any space (e.g., an office), office support, etc. The Chair should also clearly articulate the relationship between the individual and the faculty requesting this position for them. Relevant items include access to research laboratory space, equipment, and supplies.

B. Privileges within the Department

Any space requirements of these individuals, such as an office, will be provided at the discretion of the Chair. Non-tenure-earning Research Assistant Professors will not usually be provided with their own research laboratory, but would be expected to share laboratory space with their tenured or tenure-earning faculty collaborator. Other departmental support services, including access to office assistants, office supplies, and mail and copying privileges will be provided. Funds to support travel to present research findings at scientific meetings are expected to come from grant funds but may be negotiated with the Chair as well. Research Assistant Professors will be welcome to attend departmental faculty meetings. They are encouraged to participate in discussions at departmental meetings but will not be voting members of the faculty unless they are independent of tenured or tenure-earning faculty collaborators with respect to lab space and primary sources of funding.

C. Appointment to the Graduate School and student committees

Research Assistant Professors may seek appointment to the graduate school faculty. They may serve on graduate student committees if so appointed. They may also serve as a graduate student co-mentor. However, the primary mentorship role of any co-mentored student will reside with a tenured/tenure track faculty member.

D. Teaching

Research Assistant Professors are not typically expected to teach. However, they will be allowed to teach a course if the need arises in the Department and they should be reimbursed appropriately for these services. The details of any teaching activities will be negotiated with the Chair.

E. Requirements for this position

Individuals applying for this position will be expected to hold a terminal degree in a relevant area, have had postdoctoral experience, and possess an outstanding record of scholarly achievement.

F. Promotion

Individuals appointed to hold the title of non-tenure-earning Research Assistant Professor and who are academically independent will be eligible for promotion to non-tenure-earning Research

Associate Professor and non-tenure-earning Research Professor in accordance with the university minimum UAB time-in-rank requirements for tenure-track faculty. Promotion will be based on criteria described in the UAB Faculty Handbook and Policies. Non-tenure-earning Research Associate Professors and Research Professors will be full voting members at departmental meetings.

Part Two: Other Departmental Policies and Procedures

V. Faculty Evaluations and Salary Increases

Faculty will be evaluated by the Chair annually, with an annual report document serving as the basis for review. Typically, the Chair will request submission of annual reports from each faculty member by a specified deadline during the spring semester and the Chair will provide direction as to the format of the reports. Faculty will be evaluated on and, when available, merit raises will be based on the general Criteria and Standards described in sections II and III with an emphasis on scholarship and teaching for tenured and tenure-earning faculty, on teaching for non-tenure-earning faculty, and on research for non-tenure-earning research faculty.

VI. Summer Pay Policies

Department of Biology tenured and tenure-earning faculty are encouraged to obtain external funding (funding mechanisms outside the Department of Biology) for 1, 2, or 3-months (optimal) to support their summer research endeavors. These funding mechanisms include serving as PIs on external research grants, co-PIs on external research grants, PIs on internally funded research grants (such as the Comprehensive Cancer Center), and co-PIs on internally funded research grants. Summer funds provided by the department, if available, would require additional responsibilities in the Department's teaching and service obligations as determined by the Chair.

VII. Faculty Workload Policy

The teaching load for individual faculty members shall be determined by consultation between the faculty member and the Chair. The maximum teaching workload for a faculty member with no responsibilities other than teaching shall typically be three course sections per semester. When assigning teaching loads, the Chair should consider performance, accomplishments, and additional responsibilities. In determining teaching loads for tenured or tenure-track research faculty, academic productivity, research grant support, graduate student supervision, and service participation shall be considered, as shall teaching loads in biology departments at peer institutions we compete with for new faculty and whose faculty our existing faculty compete with for extramural support.

VIII. Peer Review of Teaching

The Department of Biology will provide annual peer reviews of teaching for tenure-earning Assistant Professors, non-tenure-earning Assistant Professors, and for tenure-earning Associate Professors without tenure. Faculty to be reviewed will be identified by the Chair at the beginning of the term in which peer reviews will be conducted. Upon request of the instructor, the faculty mentor(s) of the instructor may conduct additional, informal reviews, and for such informal reviews no report will be forwarded beyond that to the instructor. For Assistant Professors, first, third, and fifth-year formal reviews, the Department Chair or Associate Chair will conduct a review. For the formal second-year, fourth-year, and tenure reviews, the Department Chair or Associate Chair will assign two faculty members from the Department of Biology to each faculty member to be reviewed. Non-tenure-earning

faculty reviewers will include non-tenure-earning faculty. For tenure-earning Associate Professors without tenure, the review process will alternate from year to year as above until an award of tenure decision is made. For a given review, the following procedures adapted from Brent and Felder (2004) will be followed.

- A. The reviewer(s) will meet with the instructor to arrange two dates on which scheduled classes will be observed, discuss the instructor's plans for those classes, request course materials to be reviewed, and discuss the Rubric for Faculty Teaching Evaluation (Table1) with the instructor.
- B. The reviewer(s) will observe the first class and review the requested course materials. Within a week of the class, they will have an informal meeting with the instructor to discuss their observations, particularly noting examples of strength in teaching as well as items that may need improvement.
- C. The reviewer(s) will observe the second class, review requested course materials, and independently complete the two rating forms. Within a week of the class, in cases where there are two or more reviewers they will meet to reconcile their ratings of each of the ten items on each form and enter the reconciled ratings on a consensus form. If the raters cannot agree on how to rate an item, an average of their individual ratings will be entered.
- D. The reviewer(s) will draft a letter to the instructor that summarizes and discusses the instructor's strengths and areas that may need improvement. The draft will be delivered to the instructor with an invitation to meet with the evaluator(s) to discuss the findings. For second-year, fourth-year, and sixth-year (promotion and/or tenure) reviews, the evaluators may then choose to modify the draft letter, in light of their discussion with the instructor.
- E. For second-year, fourth-year, and sixth-year (promotion and/or tenure) reviews, the final letter will be sent to the Department of Biology Promotion and Tenure Committee, with a copy to the Department Chair and the instructor's faculty mentor(s). Each of these letters should be included in the instructor's promotion and tenure dossier.
- F. All reviewed instructors are encouraged to meet with the Department Chair and their faculty mentor(s) to discuss the evaluations and to formulate measures they might take to improve their teaching.

Each peer reviewer spends about seven hours on this process per faculty member: two meetings with the faculty member, two observing classes, three reviewing course materials, reconciling forms, and preparing or proofreading a report. This is roughly the amount of time spent in a semester on a college or university committee that meets once a month for two hours.

IX. New Faculty Mentoring Program

A. Introduction

This mentoring program is intended to be a useful way of helping new faculty members adjust to their new work environment. Whether it is academe itself that is new, or simply the UAB campus, assistance from a well-respected mentor and mentoring committee can be an invaluable supplement to the guidance and assistance that a Department Chair provides during the early years at a new university. The mentoring program's success will depend on the new faculty members, their mentors, mentorship committee, and the Department Chair all taking an active role in the acclimation process. An outline of the responsibilities of each is below.

B. The Responsibility of the Department Chair

Between the time a new faculty appointment has been made and two months after the new faculty member is in place, the new faculty member will work with the Department Chair to identify a suitable primary faculty mentor within the Department. The Chair is responsible for advising new faculty on matters pertaining to academic reviews and advancement. As the mentor may also be asked to provide informal advice, it is also the Chair's responsibility to see that mentors have current information on UAB's academic personnel process. The Chair should ensure that the new faculty member has identified two preferred members of the mentoring committee in addition to the primary mentor by the end of their first semester.

C. The Responsibility of the New Faculty Member

The new faculty member should be willing to meet on a regular basis and should keep his/her mentor informed of any problems or concerns as they arise. When input is desired, new faculty should leave sufficient time in the grant proposal and paper submission process to allow his/her mentor the opportunity to review and critique drafts. Both should provide sufficient lead time for the review of materials to be submitted through university offices, whether for grants or for the regular academic review process. By the end of the new faculty member's first semester, they should work with their primary mentor to identify two additional faculty members, either within or from outside the Department, whom they would prefer to serve on their mentoring committee.

D. The Responsibility of the Primary Mentor

The mentor should contact the new faculty member as soon as chosen by the new faculty member and Chair. They should then meet with the new faculty member on a regular basis over at least the first two years. The latest research on faculty mentoring faculty underlines the fact that effective mentoring requires regularly scheduled meetings, no matter how busy mentor and protégé or protégée may be. The mentor should provide informal advice to the new faculty member on aspects of teaching, research, and committee work or be able to direct the new faculty member to appropriate other individuals. Funding opportunities both within and outside the campus are also worth noting. The mentor should treat all dealings and discussions in confidence whenever possible. There is no evaluation or assessment of the new faculty member on the part of mentor, only supportive guidance and constructive criticism. Often the greatest assistance a mentor can provide is to identify which staff in and outside the Department a new faculty member should approach for which task or problem.

E. The Responsibility of the Mentoring Committee

The mentoring committee should have an informal meeting with the mentee and primary mentor at least once per semester if possible and at least once annually. The committee members should be available to informally assist the mentee as requested by the mentee. An important role of the committee is to ensure that there is a healthy relationship between the primary mentor and mentee and if they perceive the lack of a healthy relationship developing to bring this issue to the attention of the Department Chair.

F. The Mentors

The most important tasks of a good mentor are to help the new faculty member achieve excellence and to acclimate to UAB. Although the role of mentors is an informal one, it poses a challenge and requires dedication and time. A good relationship with a supportive, active mentor has been shown to contribute significantly to a new faculty member's career development and satisfaction.

G. Qualities of a Good Mentor

1. Accessibility

Mentors are encouraged to be readily available to the new faculty mentee. The mentors might keep in contact by dropping by, calling, sending e-mail, or extending a lunch invitation. The primary mentor and mentee ideally should meet at least once per month. It is expected of the mentors to make time as requested by the mentee to read / critique proposals and papers and to provide periodic reviews of progress to the mentee.

2. Networking

The mentors should help the new faculty mentee establish a professional network.

3. Independence

The new faculty member's intellectual independence from the mentors must be carefully preserved and the mentors must avoid developing a competitive relationship with the new faculty member.

H. Goals for the Mentor and New Faculty Member

1. Short-term goals

- Familiarization with the campus and its physical and academic environment, how things work within and between departments, between departments and the Dean of the College of Arts & Sciences, faculty governance (the Senate), and upper Administration.
- Department culture - Mentors assist new faculty members in understanding the prevailing departmental cultures. As advisors and counselors, they can be relied upon to provide information about time management, institutional procedures, computing, budgeting, and working with graduate students, assessment, and use of facilities.
- Networking—introduction to colleagues, identification of other possible mentors, and resources.
- Developing awareness—help new faculty understand policies and procedures that are relevant to the new faculty member's work.
- Constructive criticism and encouragement, compliments on achievements.
- Helping to sort out priorities—budgeting time, balancing research, teaching, service, work-life balance, and family issues.
- Identification of any concerns/problems the new faculty member encounters.
- Research/Creative activity - Mentors share information about professional opportunities internal and external to the university (funding sources, potential collaborators, publication outlets).
- Teaching - Mentors provide advice on the preparation of course syllabi and on teaching strategies. They may visit the new faculty member's classrooms and laboratories when requested.
- Professional achievement - Mentors provide guidance for documenting activities and professional achievements. They may review the new faculty member's vitae and offer advice on goal setting and on developing materials for annual reviews. Ultimately, the new faculty member is responsible for his/her own professional achievement, but the mentors can facilitate this process.

2. Long-term goals

- Developing visibility and prominence within the profession, both within and beyond the university.
- Achieving career advancement.

I. Changing Mentors

In case of changing commitments, incompatibility, or where the relationship is not mutually fulfilling, either the mentors or the new faculty member should seek confidential advice from the Chair. It is important to realize that changes can and should be made without prejudice or fault. The new faculty member, in any case, should be encouraged to discuss any concerns relating to their relationship with any members of their mentoring committee with other members of their mentoring committee and/or the Chair as the need arises.

X. Departmental Structure, Governance, and Standing Committees

A. Departmental Structure and Governance

The Department of Biology is led by the departmental Chair. In consultation with the faculty, the Chair may, but is not required to, appoint other faculty members into subordinate departmental leadership positions in order to efficiently oversee departmental activities. For example, current or recent positions have included Associate Chair, Director of Graduate Studies, and Director of Undergraduate Studies, but these current/recent positions may be changed and other titles/positions may be used as departmental needs evolve. The faculty share in departmental governance through a variety of mechanisms including, but not limited to, participation in discussions and votes at departmental faculty meetings and participation in both standing and *ad hoc* departmental committees.

B. Standing Committees

The following is a list of Department of Biology standing committees and their roles at the time the present Faculty Handbook was finalized. Except for the Promotion and Tenure Committee, standing committees may be created, put on hiatus, terminated, or their roles modified by the faculty and/or Chair without requiring formal revisions to this Handbook. In addition, *ad hoc* committees may be created as needed for specific tasks. Most committees should be composed of a range of tenured, pre-tenure, and non-tenure earning faculty. Graduate students or postdoctoral scholars may also be included as appropriate for a committee's role. Except for the Promotion and Tenure Committee, committee members are appointed by the Chair. Terms are typically for three years with the possibility of reappointment at the discretion of the Chair.

CIRTL: The Center for the Integration of Research, Teaching, and Learning (CIRTL) is an NSF Center for Learning and Teaching in higher education. The CIRTL committee is charged with the development and periodic review of courses offered by the Department for CIRTL-UAB.

Darwin Day: International Darwin Day is celebrated worldwide each year in an effort to inspire people to reflect and act on the principles embodied by Charles Darwin. The Department of Biology leads several activities and events each year on or near 12 February to engage the UAB and Birmingham communities in scientific discourse. The roles of the committee include, but are not limited to, soliciting speaker suggestions, hosting the speakers, and organizing the event. Typically, the committee should include graduate student representatives.

Development: The Development Committee works with the current faculty and students, as well as alumni and the CAS Development office, to seek non-state resources for the development of activities that enhance the educational and professional experiences of students, faculty and staff in the Department.

Diversity, Equity, and Inclusion: The Diversity, Equity, and Inclusion (DEI) Committee is to inform the department (faculty, graduate students, and staff) about matters pertaining to diversity, equity, and inclusion. Specific matters in their domain include but are not limited to: (1) educational practices that facilitate DEI in the classroom, and (2) outreach, that is providing information and opportunities for internal and external communications and events promoting DEI.

Facilities: The Facilities Committee maintains a list of departmental common-use equipment and space and makes suggestions to the Chair about common-used equipment maintenance and potential purchase of new common equipment.

Faculty Affairs: The Faculty Affairs Committee provides advice and recommendations to the Chair and faculty on matters of concern to the faculty including but not limited to: 1) performing periodic reviews of the Biology Faculty Handbook and developing proposed revisions to the Faculty Handbook; 2) reviewing departmental policies as needed; 3) reviewing other matters related to faculty affairs; and 4) reviewing any other matter referred to it by the Chair or faculty.

Graduate Affairs: The Graduate Affairs Committee is an advisory committee to the Graduate School and the Department concerning graduate student education in the Department. Committee members should be members of the Graduate Faculty. The primary purpose of the committee is to evaluate graduate student applicants for program acceptance. Additional activities include consideration of graduate student curriculum, stipend recommendations for students, and nomination of graduate students for departmental awards.

Honors: The Department of Biology Honors Program provides an opportunity for motivated undergraduate students with excellent academic records to develop research skills in preparation for graduate school and professional careers. In this program, students actively participate in biological research under the supervision of a faculty mentor. Students present the results of their investigations at the UAB EXPO and are also encouraged to present their research findings at scientific meetings.

Library Affairs: The Library Affairs committee serves as the liaison between the Biology faculty and the UAB Libraries for requests of more expensive items such as journals, e-book collections, reference works, and databases. The chair of the committee serves as the liaison between the Department of Biology faculty and the Reference Librarian.

Promotion and Tenure: The responsibilities and membership of the Promotion and Tenure Committee are defined throughout this Handbook and in relevant UAB and CAS handbooks.

Scholarship & Student Awards: The committee evaluates applications for each of the undergraduate scholarships offered through the Department of Biology.

Seminar: The Seminar Committee works with faculty members and graduate students of the Department to develop a diverse and representative program for the weekly departmental seminar series. Functions of the seminar committee include but are not limited to development of a full slate of seminars each spring and fall semester; ensuring a variety of topics that are not only specific to disciplines of biology but also cross-disciplinary areas, and pertinent to professional and career development; working with Chair and departmental staff to facilitate seminar arrangements including seminar room reservation, AV equipment, and speakers' flights, hotel, itinerary, and meals, etc. Typically, the committee should include graduate student representatives.

Space: The Space Committee conducts periodic inventory of spaces assigned to the Department of Biology, identifies major issues and concerns related to space, and makes recommendations to the Chair regarding the assignment of instructional, laboratory, administrative, office, and common space within the Department.

Undergraduate Curriculum: The Undergraduate Curriculum Committee has the role and responsibility to provide leadership and oversight in all matters of the undergraduate curriculum and programs. Functions include but are not limited to regular review and evaluation of existing courses and programs of study; drafting or reviewing changes to existing courses and programs; reviewing and overseeing development of new courses and new programs; reviewing changes to and making recommendations on graduation requirements; reviewing existing and new courses and programs on academic standards, credibility, and integrity; and to be a forum for innovation in teaching and learning.

Table 1. Rubric for Faculty Teaching Evaluation

Faculty Name _____ **Date** _____

Evaluator _____

Score (1 = does not meet expectations, 5 = exceeds expectations in all respects)	1	2	3	4	5
1 - was well prepared for class.					
2 - was knowledgeable about the subject matter.					
3 - was enthusiastic about the subject matter					
4 - spoke clearly, audibly, and confidently					
5 - used a variety of relevant illustrations/examples					
6 - made effective use of the board and/or technology					
7 - asked stimulating and challenging questions					
8 - effectively held class's attention					
9 - achieved active student involvement					
10 - treated students with respect					

What worked well in the class? (Continue on back if needed)

What could have been improved? (Continue on back if necessary)

Table 2. Summary of Timelines

Item	To whom this applies	Due Dates	Responsible Parties
Mentoring:			
1 New Faculty Member works with the Chair to select a Primary Mentor	All new faculty	Within two months of the initial faculty appointment	Chair, Faculty Member
2 New Faculty Member works with the Chair and Primary Mentor to select a Mentoring Team	All new faculty	By the end of the first semester	Chair, Faculty Member, Primary Mentor
3 New Faculty Member meets with Primary Mentor	All new faculty	Regularly, ideally at least once per month	Faculty Member, Primary Mentor
4 New Faculty Member meets with Mentoring Committee	All new faculty	Once per year or more for at least the first 2 years	Faculty Member, Primary Mentor, Mentoring Committee
Biennial Faculty Review (Tenure-Earning Faculty; required):			
1 General review cycle	All non-tenured, tenure-earning faculty	2nd and 4th years	Faculty Member, Promotion and Tenure Committee
2 Faculty Member sends review package to the Promotion and Tenure Committee	All non-tenured, tenure-earning faculty	Usually within the Spring semester of the review year	Faculty Member, Promotion and Tenure Committee
Pre-Promotion Review (Non-Tenure Earning Faculty; optional):			
1 General review cycle	All non-tenure-earning faculty	Recommended to occur 2 years prior to applying for promotion	Faculty Member, Promotion and Tenure Committee

Peer Review of Teaching:

1	General review cycle	All assistant professors and tenure-earning associate professors without tenure	Annually during the Fall or Spring semesters	Chair
2	Chair performs informal review of teaching	All assistant professors and tenure-earning associate professors without tenure	1st, 3rd and 5th years	Chair
3	Two Faculty Reviewers (assigned by the chair) perform formal review of teaching	All assistant professors and tenure-earning associate professors without tenure	2nd, 4th, and 6th years	Chair, Faculty Reviewers

Applications for Promotion or Promotion and Tenure:

1	General review cycle	All non-tenured, tenure-earning faculty seeking tenure	Required during (or before) the 6th year of the initial faculty appointment	Faculty Member
		All tenured, tenure-earning faculty seeking promotion	As requested	Faculty Member
		All non-tenure-earning faculty seeking promotion	As requested, but generally during the 6th year of the initial faculty appointment	Faculty Member
2	Faculty Member notifies Chair of intent to submit application for promotion or promotion and tenure	Faculty seeking promotion or promotion and tenure	May 01 (prior to the start of the 6th year depending on appointment date)	Faculty member
3	Faculty Member sends to the Chair a list of at least 3 individuals to contribute external review letters	Faculty seeking promotion or promotion and tenure	June 01	Faculty member

4	Chair notifies the Dean of CAS of intent of Faculty Members submitting applications for promotion or promotion and tenure	Faculty seeking promotion or promotion and tenure	June 01	Chair
5	Faculty Member sends required application materials to the Chair	Faculty seeking promotion or promotion and tenure	July 31	Faculty member
6	Chair sends completed applications to the Promotion and Tenure Committee	Faculty seeking promotion or promotion and tenure	September 01	Chair
7	Promotion and Tenure Committee reviews completed applications and sends recommendation letter to the Chair	Faculty seeking promotion or promotion and tenure	prior to January 01	Promotion and Tenure Committee
8	Chair sends recommendation letters to the Dean of CAS	Faculty seeking promotion or promotion and tenure	by February 01	Chair