

DEPARTMENT OF PHYSICS AND ASTRONOMY
POLICY ON AUXILIARY FACULTY REVIEWS

Approved by Department Faculty: May 2012

Purpose

This document sets forth Departmental policy for the review of all auxiliary faculty appointments in the Department of Physics and Astronomy. This policy is intended to conform to University Regulations governing such appointments, in particular, Policies 6-300, 6-302 and 6-310 and to conform to the relevant College of Science policy, the most current being the operative draft policy dated March 3, 2008.

Categories

The Department of Physics and Astronomy makes auxiliary faculty appointments in the following ranks:

1. Research Professor, Research Associate Professor, Research Assistant Professor.
2. Professor (Lecturer), Associate Professor (Lecturer), Assistant Professor (Lecturer), Instructor (Lecturer).
3. Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor.
4. Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, Visiting Instructor.

Preamble

All initial Auxiliary Faculty appointments are normally approved by the Department Policy Board. Subsequent reappointments are approved by the Departmental Auxiliary Faculty Review committee (known in University Policy as the "Departmental Faculty Appointments Advisory Committee").

Research Ranks

Research faculty ranks are usually appropriate for scientists whose primary appointment at the University is in the Department of Physics and Astronomy and who exist on Departmental support and/or grant support administered at the University. With few exceptions research ranks are not intended to be career tracks. Research rank appointments are not usually appropriate for faculty members whose primary responsibilities involve teaching.

The benefits research rank faculty bring to the Department of Physics and Astronomy may include contributions of the research to existing Departmental research groups, additional visibility from the research performed through presentations, publications and patents, fresh research ideas, new research equipment developed and/or managed by the research faculty member, additional services provided by the research faculty member, such as occasionally teaching classes, running seminars, and training graduate students, and additional indirect costs credited to the Department from external grants and contracts. These benefits are at least partially offset by additional costs to the Department. Departmental policy sets priorities for allocation of Departmental resources for research rank faculty, and also serves as a guide for the departmental management of research rank appointments.

Where appropriate, research faculty should be encouraged to take part in the functioning of the Department. Participation in Departmental affairs where appropriate may include, but is not necessarily limited to, participation in faculty meetings, retreats, service on departmental committees and student supervisory committees, and supervision and mentoring of graduate and undergraduate students.

Lecturer Ranks

Lecturer ranks are appropriate for those non-tenure-track faculty members who receive departmental support to teach regularly (averaged over a few years) at the rate of one or more courses per academic year. The primary role in the Department of a Lecturer faculty is teaching.

Lecturer rank faculty enhance the ability of the Department to offer more courses. These courses usually include (but are not limited to) larger lower-level service courses, which frees up regular faculty members to teach more advanced and specialized courses geared to their research interests.

Where appropriate, lecturer faculty should be encouraged to take part in the functioning of the Department. Participation in Departmental affairs where appropriate may include, but is not necessarily limited to, participation in faculty meetings, retreats, service on Departmental committees, and outreach activities.

Adjunct Ranks

Adjunct ranks are (typically) nonteaching appointments, most appropriate for faculty members affiliated with the Department, but whose home department is elsewhere. Typically they should be actively involved in collaboration with research groups within our department. They are encouraged to visit the Department at least once per year. Even though the adjunct position is primarily for research collaboration, it is possible that, in special cases, an adjunct faculty member may teach for a limited time. Under such circumstances, a review of his/her teaching may occur as specified below.

Visiting Ranks

Visiting ranks are most appropriate for those who have a home department outside of the University of Utah and who will be visiting the Department for an extended amount of time, actively working on research or teaching in our department. As per University Regulations, appointments in this category may not last longer than three years.

Prioritization of Research Topics

Research and/or teaching carried out by auxiliary faculty, even if completely externally supported, should benefit directly the Departmental research and/or teaching program. Collaboration with regular faculty research groups is tangible evidence of this benefit.

Review of Independent Research Programs

If the primary external grant funding for a research program does not include a tenured/tenure-track faculty member as a principal investigator or co-principal investigator, the research program is considered independent. To advise the Department Chair in assessing the benefit to the Department, each independent research program shall be reviewed every 5 years or more often regularly at the Department Chair's discretion. Such a review may or may not occur at the same time as the annual Auxiliary Faculty review meeting.

The Department Chair, with the advice of the Policy Board, shall appoint a subcommittee of tenured/tenure-track faculty members for each independent research program review. One member of that committee should be proposed as an advocate by the principal investigator of the research program under review. The subcommittee will review the quality of the research program under review, as well as the benefit of the program to the department, and will subsequently provide a written report to the Policy Board and Department Chair containing its recommendations. Based on this review the Department Chair may make adjustments, including possible withdrawal of Departmental support. The appointment of that auxiliary faculty member will then be reviewed at the next Auxiliary Faculty Review meeting.

Prioritization of Departmental Resources

Departmental support includes, but is not necessarily limited to, allocation of office and laboratory space, the use of equipment and supplies, payment of salary and benefits for services rendered, use of facilities at departmental rates, and allocation of resources to graduate students and postdoctoral research associates. Tenured/tenure-track faculty have first priority for departmental support.

Departmental support for a research faculty member should reflect the perceived importance to the Department of his/her research and teaching contributions, as well as the effect of such support on resources available for other Departmental activities. Since a research rank appointment cannot confer tenure, it is possible that changes in departmental research priorities or departmental resources may result in termination of existing research faculty appointments, regardless of performance. In order of decreasing priority, departmental support is allocated to the research ranks as follows: (1) research faculty who have external funding and are working with tenure track faculty, (2) research faculty who have external funding and are working on research of benefit to the Department, (3) research faculty who are not presently funded by an external research grant, but whose presence in the Department is deemed

beneficial (this category may include research faculty who receive departmental funds for occasional teaching, but this category does not include those who are primarily teaching), (4) other research faculty who do not fall into any of the previous three categories. Although these guidelines should be followed in general, the Chair should retain flexibility to allocate resources to the best advantage.

Faculty members in lecturer ranks are generally paid by the Department rather than from external funding. Departmental support for a Lecturer faculty member should reflect the perceived importance to the Department of his/her teaching contributions. Lecturers generally have an assigned office. It is possible that changes in departmental teaching priorities or departmental resources may result in termination of existing Lecturer faculty appointments, regardless of performance.

Adjunct faculty members are generally not compensated by the department, nor are they assigned any space. If they will be spending an extended amount of time in the department, a temporary office may be assigned by the Department Chair if space is available.

Visiting faculty members are generally not compensated by the department. Any funding is usually provided by their departmental sponsor or their home institution. A temporary office may be assigned by the Department Chair if space is available.

Qualifications

It is expected that all Research, Adjunct and Visiting ranks will have a PhD in Physics, Astronomy or a related field. Qualifications for Lecturer ranks are specified below.

Research

Standards for appointment, reappointment, and promotion in the research ranks are the same as the Departmental standards for retention and promotion in the tenure-track ranks with the following exceptions:

- It is not appropriate to evaluate teaching abilities or service duties for a research faculty member who has had no teaching or service duties within the Department.
- A research faculty member associated with a Departmental research group is not expected to demonstrate independence in formulating a program of research.
- A research faculty member working in the research group of an externally funded tenured/tenure-track faculty member is not expected to obtain independent funding.
- A research faculty member is not expected to play the same role in supervising students or postdocs as a tenured/tenure-track faculty member.

Lecturer

In establishing qualifications for the Lecturer ranks, it is the principal objective of the Department to assure and reward excellence in teaching. The Department also intends that the Lecturer faculty ranks carry the same prestige as the parallel research faculty ranks. The following are guidelines for the standard expectations for each lecturer rank.

- Instructor (Lecturer): Has an MS in Physics or equivalent. This rank is considered terminal, *i.e.*, advancement to Assistant Professor (Lecturer) is not anticipated. Promotion to Assistant Professor (Lecturer) from Instructor (Lecturer) would require a new appointment, as well as satisfactory completion of the necessary degree requirement.
- Assistant Professor (Lecturer): Has a PhD in Physics or related field and prior teaching experience. Shows demonstrable promise of teaching excellence.
- Associate Professor (Lecturer): Consistently applies effective teaching methods and materials. Typically earns strong student and excellent faculty course evaluations. Additional evidence for promotion to this rank could include developing innovative and original course materials as well as visibility as an excellent teacher outside the Department.
- Professor (Lecturer): Is an exemplary teacher respected by students and peers. Typically will have an established record of employing effective course materials and teaching methods. Regularly earns strong student and excellent faculty course evaluations. Additional evidence for promotion to this rank could include visibility as an excellent educator outside the University, invited conference presentations, educational grants, publication of pedagogical articles, and service on state or national committees and panels, etc.

In evaluating the candidates' teaching contributions, the following items will be examined:

1. Experience: Promotion to the next Lecturer rank normally requires earning a substantial record of satisfactory Auxiliary Faculty reviews in the current rank, as well as meeting the qualifications (described above) for the proposed rank.
2. Competence: A candidate is expected to be qualified by virtue of knowledge, temperament, and skill to teach a wide variety (but not necessarily all) of the undergraduate courses offered by the Department

Other considerations include (not necessarily in order of importance)

3. Innovative teaching techniques.
4. Internal and external awards for teaching.
5. Leadership in teaching and curriculum development.
6. Effectiveness of supervision of teaching assistants.
7. Authorship of educational materials, such as textbooks and software.
8. Effectiveness of presentation at department colloquium or seminar.
9. Conference talks and posters and seminars given at other universities.,
10. Educational grants,
11. Publication of pedagogical articles,
12. Service on state or national committees and panels, etc.

Adjunct and Visiting

An Adjunct or Visiting faculty member's rank should be equivalent to ~~their~~ his/her rank in ~~their~~ his/her home department.

Terms of Appointment

Legally all auxiliary faculty appointments are made on a year-to-year basis, ending each June 30. Reappointment is subject to funding and university approval. There is no term limitation to such approval, except that Visiting faculty may serve in that capacity for a maximum of three years. When there is a reasonable expectation of continued funding, appointments may continue over a longer term, but they are still contingent upon adequate salary funding. Procedures and criteria for departmental formal and informal review for retention and promotion are specified below.

In order to maintain year-to-year flexibility in the disposition of discretionary funds and space, the Department generally discourages long-term implied commitments in auxiliary ranks. Changes in teaching priorities, student enrollments, research directions, etc. may trigger adjustments in Department support for Auxiliary Faculty. Exceptions can be made for special cases in which a longer-term commitment of a particular auxiliary faculty member to a Departmental effort is deemed vital for the success of that effort. For such people, a probationary period of up to 5 years following the initial appointment for Associate or Full Research or Lecturer Professors and up to 7 years for Assistant Research or Assistant Lecturer Professors is normally required, during which an informal review is given each year and is followed by a formal review (see Retention and Promotion Procedures below).

Participation in Faculty Meetings

Research and Lecturer auxiliary faculty members are encouraged to participate in faculty committee activities and faculty meetings at the invitation of the Department Chair. According to University Policies

and Procedures 9-2, Section 4.D.1, auxiliary faculty are not eligible to vote on matters relating to appointment, retention, tenure, or promotion of the regular faculty, but in keeping with University Regulations 6-302 Section III B.1 and consistent with College policy, Research and Lecturer faculty members may participate in meetings of the Auxiliary Faculty Review Committee, and they may vote according to category and rank as described below under committee membership.

Adjunct and Visiting faculty members are generally not invited to attend or participate in faculty meetings. If there is a specific topic for which their input is desired, the Department Chair may invite them to attend for those portions of a meeting.

Supervision of Students

Auxiliary Faculty may function as the advisor of graduate or undergraduate students, supervise their work, and may serve as a member of a graduate student's supervisory committee. However, as per Graduate School policies, the official chair of a graduate student's Supervisory Committee must be a tenured/tenure-track faculty member from the student's home department.

Retention and Promotion Procedures

Tenure does not apply in Auxiliary Faculty ranks. Auxiliary Faculty reviews follow the same procedures as those used for regular faculty (see Departmental RPT Procedures and Criteria) with exceptions listed below.

An Auxiliary Faculty Advisory committee consisting of all tenured and tenure-track faculty members, regardless of rank reviews the reappointment and promotion of all Auxiliary Faculty members and votes to make recommendations on these matters to the Department Chair. Moreover, Research and Lecturer faculty of rank Assistant Professor and above may participate in the discussion and vote according to category and rank: Research and Lecturer faculty members may vote on matters of reappointment or promotion of other Research and Lecturer Faculty members of lower rank than their own. Because some Auxiliary Faculty members may be in the Department only temporarily and may not have a long-term interest in affairs of the Department, it is recommended that voting rights on RPT matters be restricted to those Research and Lecturing faculty who have satisfactorily completed the 5- or 7-year probationary period. (See the discussion below of the review procedure at the end of the probationary period.)

A quorum is required for voting on matters of reappointment and promotion. A quorum consists of two thirds of the members entitled to vote, except that any member unable to participate in the meeting because of formal leave of absence or medical condition shall not be counted in determining the number required for a quorum. Absent members may submit written opinions and votes on any matter prior to the meeting in which a vote is taken. (University Regulations 6.302 III B 3.)

Voting for any specific candidate is conducted by secret ballot, unless, as a result of a secret ballot taken prior to or at the beginning of the meeting, the committee unanimously determines that voting for that candidate can be by open ballot. (University Regulations 6-302 III C 1b.)

All proceedings of the meetings are considered personnel matters and must be treated as confidential. All appointments in the Auxiliary ranks are reviewed on an annual basis with a vote taken. The review is informal unless a formal review is conducted. The review schedule varies with the type, rank, and, sometimes, duties of the auxiliary faculty member.

1. Adjunct faculty members are ordinarily reviewed informally at intervals of three years after first appointment. However, if an Adjunct faculty member teaches a class as instructor of record, an annual informal review of the teaching record is recommended.
2. Visiting faculty members are ordinarily not reviewed inasmuch as their appointment cannot exceed three years. However, if a Visiting faculty member teaches, the teaching record should be reviewed informally in the same manner as for Lecturer faculty. There are no formal reviews for the Adjunct and Visiting ranks.
3. For Research and Lecturer appointments, informal reviews are of two types. During a probationary period of seven years for those first appointed at the Assistant level and five years for those first appointed at the Associate or Full level a subcommittee described below presents the candidate's case to the Auxiliary Faculty Review committee, which then votes on whether the appointment should or should

not be continued. After the probationary period, annual informal reviews are pro forma and usually consist of a simple yes or no vote by the Auxiliary Faculty Review Committee, without a report from a subcommittee. Formal reviews are required (1) prior to a recommendation for promotion to a higher rank, (2) after the end of the probationary period at intervals not exceeding five years with the first such review at the conclusion of the probationary period, and (3) triggered at the request of the Department Chair. The requirements for a formal review vary accordingly. In the case of a promotion review, letters of recommendation are required. In the case of a five-year or triggered review they are not required. In all formal reviews, for Auxiliary faculty members engaged in teaching, at least two peer teaching evaluations are also required.

Reappointment and promotion reviews are held in the early Spring, usually in February, at a date set by the Department RPT Chair. The process is started in the Fall of the preceding year. By early October individuals requiring a formal review will be identified and notified in writing by the Department Chair.

All Auxiliary faculty members will be asked to submit to the Department Chair all information necessary to update their personnel file by December 15. In the case of formal reviews for Lecturers, the Department Chair will request by early November any needed evaluations from the USAC and/or GSAC to be provided by December 15. The Department Chair will also solicit external letters if required, as recommended by the three-member subcommittee (see below)..

In October a three-member subcommittee of the Auxiliary Faculty Review committee is appointed for each Auxiliary faculty member, whether reviewed formally or informally. All committee members must be eligible to vote in the case. Each candidate will select his/her own advocate. The two other members, the sub-committee chair and member, will be chosen by the Policy Board.

For those Auxiliary Faculty members who are involved in a significant amount of teaching, at least two peer teaching reviews are required for formal reviews. These reviews must be completed by December 15. They are to be conducted by senior faculty members in the Department. The reviewers are ordinarily chosen by the Chair or Associate Chair.

Regular and auxiliary faculty members may provide written comments to be placed in the candidate's file, provided they are signed by the author. The file is closed to additions by all but the candidate three weeks prior to the meeting of the Auxiliary Faculty Review committee. At this time the candidate may review the file (with the exception of confidential letters of recommendation) and add written comments. Two weeks prior to the meeting of the Auxiliary Faculty Review committee, the file is closed to additions by all. All members of the Auxiliary Faculty Review committee who are eligible to vote on the case may review the file.

Research Rank Procedures

1. Evaluation of teaching is not required unless teaching is a significant component of the Research faculty member's service. Evaluation of service is not required, but may be considered during the review process. A Research Statement should be included for all formal reviews along with the CV, complete Publications List, and an itemized list of their most important contributions with a brief description of the significance of each and should be accompanied by a listing of the associated research publications.
2. Letters of recommendation are required for a formal review for promotions above the Assistant level. At least two and no more than three external letters should be obtained for promotion to Associate Research Professor. A minimum of three and a maximum of four external letters should be obtained for promotion to Research Professor. No more than one letter should come from the candidate's list of possible reviewers.
3. In addition, the tenured/tenure-track faculty member working with the candidate is encouraged to submit a formal letter of evaluation of the candidate's contributions to the research program. This letter is not counted as one of the external letters, but may count as an internal letter..

The file for a formal review for promotion should include:

1. A current CV provided by the candidate, including the following:
 - a. Education and employment histories.
 - b. A statement of most significant accomplishments.
 - c. Honors and awards.
 - d. Departmental, university, or community service.
 - e. Publications and/or grants received, if applicable.

- f. Talks and posters presented at meetings, government and industrial laboratories, and Universities (including Utah)
2. A Research Statement describing future research goals.
3. The lists of referees provided by the subcommittee including no more than one from the candidate.
4. Solicited letters from referees.
5. Signed waiver form provided by the candidate.
6. If a Researcher has taught a significant number of undergraduate classes in the department, a formal Departmental Undergraduate Student Advisory Committee (USAC) report should be obtained. A Graduate SAC (GSAC) report is to be included if the candidate's teaching responsibilities have included a significant number of graduate-level courses.
7. If a Researcher has taught a significant number of courses in the department, peer teaching reviews are solicited by the Associate Chair of the Department. Copies of available peer teaching reviews from the past five years should be included.
8. If a Researcher has taught in the department, copies of available student evaluations for the past five years.
9. Any unsolicited letters submitted. No anonymous letters will be included.
10. Any additional statement(s) from the candidate in response to file contents.
11. After the Departmental Auxiliary Faculty Review Committee has completed its deliberations, the final version of the summary report shall be added to the file and a copy provided to the candidate.

The file for a post-probationary period five-year formal review should include items 1, 2, 7, 8, 9, and 10, The file for an informal review should include items 1, 2, 8, 9, and 10.

Lecturer Rank Procedures

1. Evaluation of research and service are not required. If the Lecturer has a research and/or service record within the department, these areas may be considered during the review process. Letters of recommendation should come from reviewers outside of the Department if possible, but due to the nature of the position this may not be possible or practical. In this case, letters should be obtained from tenured/tenure-track members of the department who have participated in a Peer Review of a class taught by the Lecturer. A minimum of two and maximum of three letters should be obtained for a formal review for retention or promotion to Associate Professor (Lecturer). A minimum of three and a maximum of four letters should be obtained for a formal review for promotion to Professor (Lecturer). Letters for promotion to Professor (Lecturer) from outside the University are encouraged since this may provide evidence of national visibility.

The file for a formal review for promotion should include:

1. A current CV provided by the candidate, including the following:
 - a. Education and employment histories.
 - b. A statement of goals and accomplishments. This could include innovations in teaching or course development.
 - c. Honors and awards.
 - d. Departmental, university, or community service.
 - e. Publications and/or grants received, if applicable.
 - f. Talks and posters presented at meetings, government and industrial laboratories, and Universities (including Utah).
2. A formal Departmental Undergraduate and/or Graduate Student Advisory Committee (USAC/GSAC) report based on their teaching assignments.
3. A statement of teaching philosophy.
4. The lists of referees provided by the subcommittee including no more than one from the candidate.
5. Solicited letters from referees.
6. Signed waiver form provided by the candidate.
7. Peer teaching reviews solicited by the Associate Chair of the Department.
8. Copies of available peer teaching reviews from the past five years.
9. Copies of available student evaluations for the past five years.
10. Copies of up to two course syllabi.
11. Any unsolicited letters provided. No anonymous letters will be included.
12. Any additional statement(s) from the candidate in response to file contents.

13. After the Department Auxiliary Faculty Review Committee has completed its deliberations, the final version of the summary report shall be added to the file and a copy of the report shall be provided to the candidate.

The file for a five-year post-probationary review should include items 1, 3, and 7, through 11. The file for an informal review should include items 1, 3, and 9 through 12.

Adjunct Rank Procedures

Adjunct faculty are to be informally reviewed every three years. Promotions to match the faculty member's rank in his or her home department do not require letters of recommendation. If an adjunct faculty member were to teach (a rare event), then his/her teaching would be reviewed annually, using the same procedure as that for lecturer faculty.

Visiting Rank Procedures

Visiting faculty are not reviewed since they may be in this rank for a maximum of only three years as per University Regulations. If a visiting faculty member were to teach (a rare event), then his/her teaching should be reviewed annually, using the same procedure as that for lecturer faculty.

Revision of Policy

Every five years the Department Chair will appoint an ad hoc committee to review this policy.