

PART I

PROCESS AND PROCEDURES FOR 4TH YEAR COMPREHENSIVE AND DIAGNOSTIC REVIEW FOR RETENTION

Information on 4th Year Comprehensive and Diagnostic Review for retention is included in Article 9 of the Collective Bargaining Agreement between the University and United Academics-AAUP/AFT and the “Blue Book”, UAF’s Policies and Regulations for the Appointment and Evaluation of Faculty. Please review these documents carefully.

A. File Preparation and Submission

If you are scheduled for a 4th Year Comprehensive and Diagnostic Review you are required to assemble a file and submit it to your dean or director no later than **October 2nd**. Part II of these Guidelines is a detailed explanation of how to assemble your review file. Please note that Part III Appendix provides you with copies of all forms required and other relevant material.

The schedule for 4th Year Comprehensive and Diagnostic Review is also included with this information.

B. The Review Process

1. Open Meeting Provisions Recommendations

Committees may determine whether discussions will be open or closed to the public and/or the candidate. The vote of the committee, however, shall be closed to the public and candidate. The vote and substantive statement shall be provided without individual attribution.

2. Review of Recommendations

Faculty members shall have an opportunity to review the recommendations at each review level, and to submit a response at each level. On items already referenced in the prepared file, the candidate may add supporting documentation, such as letters of acceptance of a manuscript or grant proposal awarded, at any time during the review process. Other information or documentation, including letters of support on behalf of the candidate, may be added **ONLY** as an attachment to the candidate’s comments at each stage of review.

Opportunity for this review has been incorporated in the Review Schedule and as much time as possible has been allowed for your review and response. Your assistance in reviewing this schedule and meeting the deadlines is requested and appreciated. Forms for your response are provided in Appendix III and must be included in your file, although you may submit electronically prepared responses.

If you will be absent from campus for an extended period of time, you may delegate someone to act as your representative. If you wish to do this please send a memo to the Office of the Provost identifying the individual and the time period

for which this authorization is valid. The notice must be signed and dated by you. Notification of the completion of a recommendation will then be given to the person designated and it will be up to that individual to inform you and solicit your comments or act on your behalf.

In preparing your response to a recommendation at any level, you may submit whatever documentation you feel essential to support your comments or point of view. Because these materials become a permanent part of the file and add to the amount of material to be considered at subsequent levels of review, they should be carefully and critically selected.

3. Evaluation Criteria

The criteria for 4th Year Comprehensive and Diagnostic Review for retention are the same as for promotion and tenure and have been in place at UAF since 1989. The criteria emphasize attention to both the quality of performance demonstrated and the expectations for judging performance activities within the framework of each faculty member's particular assignment and workload distribution agreement.

It is your responsibility to include in your application a narrative self-evaluation of overall contributions within each of the performance areas appropriate to your appointment. In addition, your self-evaluation should reference those special standards and/or expectations that are identified in any unit criteria, standards and indices that may be approved for your unit. A copy of your unit's criteria, standards and indices should be placed in your file. Contact your dean or director if you do not have these.

4. Closing of the File

The faculty member's file is closed at the time of submission and no new materials may be added to the main body of the file. However, the faculty member may add relevant "update" information, which verifies a change in status of achievements referenced in the file or addresses issues raised by reviewers and evaluators. For example, if a faculty member receives notification that one of the publications or grants listed as "in review" or "proposed" has been accepted for publication or funding, the candidate may wish to submit a note to this effect. *These items may be added at any time and should be placed behind the most recent recommendation.* Other information or documentation may be added as an attachment to the candidate's comments at each stage of the review. Letters of support on behalf of the candidate may be added only by the candidate as part of their comments at each stage of review.

Access to the file will be limited to the faculty member and, during the official review periods established by the provost, the appropriate personnel at each review level (department chair, peer unit committee, dean and/or director,

university-wide review committee, provost, chancellor and staff appropriate to the level of review).

5. Levels of Review and Recommendation

The levels of review are:

- a. Department Chair. Review of the candidate's file by the department chair is at the discretion of the dean.
- b. Unit-Peer Review Committee. Upon submission, your file will be forwarded to the Chair of the unit-peer review committee. Each unit-peer committee shall have written procedures explaining the way in which it will conduct the evaluation. A copy of these procedures may be obtained from the dean/director's office.

The committee will evaluate your file and prepare a recommendation as to your progress toward the award of tenure and/or promotion. A record of the vote, without attribution, and a written substantive rationale including the majority recommendation and the minority opinion shall be placed in the file. On or before the scheduled deadline, the committee will notify you that their recommendation is complete.

- c. Dean/Director Review. Following your receipt of the recommendation of the unit peer review committee, your file shall be conveyed to the dean/director of your college or school. If you hold a joint appointment, the academic director or dean of the second unit will have an opportunity to review your file. Please note that you will be provided a single review/comment opportunity even if there are two or more dean/director-level evaluations.

If you hold an appointment in one department, and are affiliated with a second unit (e.g., School of Education faculty member who teaches at a rural campus), the dean of the second unit will have an opportunity to review your file. Please note that you will be provided a single review/comment opportunity even if there are two or more dean/director-level evaluations.

- d. University-Wide Review Committee. The committee members will review the applications individually and then schedule a series of meetings to discuss candidate's files. The committee will notify you of the date, place, and time during which your file will be considered and will give you an opportunity to request that this discussion be conducted in open session.

The Committee will prepare a written recommendation with substantive rationale including the majority recommendation and minority opinion. The Office of the Provost will notify you that the committee's recommendation is available for your review.

- e. Provost's Review. The provost shall review all files. On or before the deadline

indicated in the schedule, the provost will provide a written recommendation as to your progress toward promotion and/or tenure, and notify you that the recommendation is complete and available for your review.

The provost's review is the last level of review required for faculty participating in 4th Year Comprehensive and Diagnostic Review. Should you desire that the chancellor review your file you must request in writing that it be forwarded to the chancellor.

C. Storage of Files

Except for supplementary information, which you specifically request be returned directly to you (see "General Comments," Part II), your comprehensive review file will be returned to your dean or director and eventually archived with restricted access. You should have made a copy of your file prior to submitting it; however if you would like to have a copy of any of the information in your file, please contact your dean/director's office as soon as possible after the review process is complete to make these arrangements.

D. Exceptions and/or Extenuating Circumstances

Any unusual situations not apparently covered by the documents governing 4th Year Comprehensive and Diagnostic Review procedures, policies and regulations should be brought to the attention of your dean or director for appropriate resolution. If an interpretation of university intent is required, the dean shall bring this matter to the attention of the provost.