

PURPOSE AND INSTRUCTIONS FOR INSTITUTE SELF-STUDY

UAF will submit an institutional self-study for the reaffirmation of institutional accreditation to the Northwest Association of Schools and Colleges during the summer of 2001. As part of this process you are asked to prepare a *Research Institute Notebook* and deliver it to Ted DeLaca in the Office of Arctic Research by June 30,2000. Other than brochures, pamphlets, and the like that may be included in your notebook, your information should be delivered electronically as well as in hard copy form. We intend to use this exercise to our best advantage by collecting information useful in planning the future of UAF and for evaluating the effectiveness of our efforts. A time line for the entire self-study process is available at

<http://www.uaf.edu/provost/accreditation/timeline2001.html>

The formatting and content for your report is described on the following pages. Evaluator comments from our last accreditation evaluation concerning research are supplied for your convenience in preparing your departmental profile.

The 1999 Accreditation Handbook states:

"Institutional self-study is regarded as the most significant part of the accreditation process. The benefits to the institution will be proportional to the incisiveness of the inquiry. The aim of the self-study is to understand, evaluate, and improve not merely to defend what already exists. A well-conducted self-study should result in a renewed common effort within the institution to consolidate and improve the whole.

Self-study should be viewed as an on-going process to:

- A. Analyze the resources and effectiveness of the institution in fulfilling its mission;
- B. Demonstrate that the achievements of students who complete programs are commensurate with the certificates, diplomas, degrees, or other recognition awarded;
- C. Appraise the relationship of all the institution's activities to its purposes; and
- D. Provide a sound basis for institutional planning and improvement."

In preparing your report, please become familiar with Standard 4B of the *Accreditation Handbook*. It is located on the web at:

<http://www.uaf.edu/provost/accreditation/handbook/index.html>

Click [Standards and Guide for Self-Study](#) and scroll down to "Standard 4B Scholarship and Research."

STYLE AND FORMAT FOR RESEARCH INSTITUTE SELF-STUDY REPORTS

Please prepare your report using the following guidelines:

Software Application:	Microsoft WORD®
Font type and size:	Times New Roman 12 pt font
Margins:	left: 1.5", right: 1", top: 1", bottom: 1"
Spacing:	single-spaced text, double space between paragraphs
Paragraphs:	indent first line
Page numbering:	numbered at the bottom center

Follow the template on the following pages as a guide, or download a template from <http://www.uaf.edu/provost/accreditation/instructions.html>. Please submit the report via e-mail attachment and hard copy to Ted DeLaca.

The deadline is June 30, 2000.

General notes on preparing your self-study notebook:

- Your self-study document should be a collaborative scholarly work written by directors, faculty, and staff.
- Connect your report to UAF's mission and Strategic Plan: UAF 2000; these can be viewed on-line at <http://www.uaf.edu/UAF/generalinfo.html>
The new UAF Mission Statement was approved at the April Board of Regents' Meeting. It reads:
"The University of Alaska Fairbanks, as the nation's northernmost Land, Sea, and Space Grant university and international research center, advances and disseminates knowledge through creative teaching, research, and public service with an emphasis on Alaska, the North, and its diverse peoples."
- Your audience - Your notebook will be made available to accreditation evaluators during their visit and will be used by your college/school writing team and the accreditation steering committee in drafting the self-study report.
- In general, tabular information you provide will not be totaled across units so concerns about redundancy, such as in the case of joint appointments, should not be a problem.
- Throughout your report you should relate your program's role to the mission of the institution. In addition, you should relate assessment to planning throughout your self-study.
- Focus on your uniqueness.
- Describe external forces, which have impacted your Unit—historical, economic, political, geographical, etc.
- Constructive self-analysis and criticism should be emphasized—no whining.
- Share your draft with another Unit before submitting it to Ted DeLaca—if it does not make sense to them, it will likely not make sense to the visitation team.

- Official numbers and statistics only—no departmental shadow databases to be used. Please arrange a meeting with representatives of Planning, Analysis, and Institutional Research to request any information you might find useful in preparing your report.
- Minimize description and emphasize analysis.
- Connect your documented assessment with your analysis with your action.
- Watch for the following sentences:
 - "Next year we plan..."—This means you are not doing it now.
 - "We have, for the past three years, been working on...."—Better
 - "Our data over the past three years shows..."—Best
 - Please do not say, "if we only had money, we would..."—Plans should be realistic given current and foreseeable circumstances.

TEMPLATE AND INSTRUCTIONS FOR COMPLETING RESEARCH INSTITUTE SELF-STUDY

Please use the headings and outline format below and address every question even if it does not apply to your Unit. If a question asks something not applicable to your **Institute, Center, or Program (here after referred to as Unit)**, please state "Not applicable".

TITLE PAGE Your report should have a title page identifying the name of the Unit, the director, and the persons that contributed to writing the report.

SUMMARY Briefly describe your Unit and how it is organized. Describe what impact, if any, the reorganization had on your Unit.

I. MISSION AND GOALS: PLANNING AND EFFECTIVENESS

A. Mission

Describe the Unit mission in no more than a one-half, single- spaced page. Discuss how your Unit contributes to the mission of the institution, the mission of college/school you are associated with, and the Strategic Plan: UAF 2000.

B. Goals and Strategies

Briefly state three to five Unit short term (1-2 year) goals and three to five long term (3 years +) goals, describe your strategy for accomplishing your goals and how you will evaluate whether your goals have been met. Where possible, identify parenthetically after the goal statement the Strategic Plan item to which your goal is related. Your goals should be realistic with respect to current funding levels, must be consistent with your mission and UAF and should address instruction, research, and service as appropriate for your Unit.

Some examples are given below:

1. Short-term goal: *The current interdisciplinary master degree in Statistics will be submitted to governance as a formal M.S. program.*
Strategy: *Prepare a formal proposal based on current practices, document past and projected enrollment and submit to governance by the November 2000 deadline*
Evaluation: *Proposal submitted or not by November 2000.*
2. Long term goal: *Increase the number of math faculty on joint appointments with institutes to three.*
Strategy: *Encourage current faculty to write grants through institutes and build up to at least 75/25-type appointment. If RIP replacement*

funds are made available to the department for new hires over the next three years, advertise and recruit into joint appointments

Evaluation: *The number of faculty on joint appointments in fall 2002.*

- C. **Planning and Evaluation Process and Application of Results**
Briefly describe your Unit's planning process. Include the role of faculty, staff, students, and advisory committees, if applicable, in establishing the goals, strategies, and evaluation procedures in this description. Describe how the results of the planning and evaluation process are used to improve the programs and activities of the Unit.
- D. **Unit Promotion/advertising**
Describe how you make the mission and goals of your Unit public. Examples include web pages, brochures, advisory committee meetings, etc. Copies should be included in the appendices. Describe your process and timeline for the regular review and revision of web pages.

II. EDUCATIONAL PROGRAM AND ITS EFFECTIVENESS

- A. **Graduate Programs**
1. **Role of the Unit in Undergraduate and Graduate Education**
Describe the role of your Unit in undergraduate and graduate education.
 2. **The Role of the Graduate School**
What changes, if any, would your Unit like to see in the overall role of the graduate school at UAF and why?
- B. **Continuing education and special instructional programs**
Examples include but are not limited to in-service workshops, interaction with local primary and secondary schools, programs for the military, developmental study courses, short courses, lecture series, performing arts, extension programs, contract training, special evening programs, special correspondence courses, telecourse/audio conferences, and on-site conferences.
1. **Describe Activities**
List continuing education and special instructional activities your Unit has been involved in during the last three years. Please include information on credit/non-credit status, length of the activity, by whom the activity was initiated, and whether or not it was offered in collaboration with a second party, such as a government agency. What proportion of your Unit's efforts are engaged in continuing education? Are you contemplating any change in your level of effort in this area?

III. STUDENTS**A. Recruitment****1. Trend in Students**

Discuss the trend in number of undergraduate and graduate students involved with your Unit over the past three to five years. What explanations do you have for these trends? Upon what evidence are your explanations based?

2. Recruiting Goals

Describe Unit goals and strategies to recruit a student population that is both excellent and diverse, indicate how successful you have been in meeting these goals, and describe the evidence for your judgement. Include copies of promotional publications, videos, multimedia presentations, and advertising in the appendices. Does your Unit “require” inclusion of graduate or undergraduate students on extramural proposals?

B. Examples of Undergraduate Research

Provide examples of significant undergraduate student research. For example, has your Unit or its researchers been involved in NSF’s REU program.

C. Examples of Graduate Research

Provide examples of significant graduate student research

D. Employment of Graduates

If available, provide places of employment for students who graduated since 1995. If your Unit maintains comprehensive records of your graduates please describe the duration of such records and provide examples.

IV. FACULTY

(PLEASE NOTE; REDUNDANCY IN REPORTING BETWEEN ACADEMIC AND RESEARCH UNITS IS EXPECTED AND DESIRABLE) BOTH FULL- AND PART-TIME FACULTY SHOULD BE INCLUDED IN YOUR REPORT.

A. Faculty Qualifications and Numbers**1. Faculty Profile**

Complete Table 4.2 Departmental Faculty Profile. Referring to Table 4.2 and the data summary provided assess and describe your faculty in terms of numbers and balance in (a) rank, (b) degrees held, (c) experience, (d) subject specialties, (e) gender and ethnicity, (f) work load distribution among instruction, research/creative activity and service. Discuss how the Retirement Incentive Program and any other

factors have impacted the number of faculty and distribution by rank of faculty. Your analysis should pertain to undergraduate and graduate programs, research and service related to your mission and goals. What changes should be made and why? How will you evaluate whether these changes have been effective?

2. Faculty Locations

If your Unit has faculty located at various geographic locations, indicate where each faculty member is located. In your narrative describe any difficulties your Unit has encountered in terms of communication and working relationships. What solutions have you developed for dealing with these difficulties? Are the solutions working? Upon what evidence are your conclusions made?

B. Recruiting Faculty

1. Recent Recruiting Efforts

Describe recent (last three years) faculty recruiting efforts by your Unit and describe any external or internal constraints on the recruitment of new faculty. What plans do you have, if any, to improve your recruiting procedures?

2. Strategies and Effectiveness in Recruiting a Diverse Faculty

What specific efforts has your Unit made to attract female and minority faculty members? Have these efforts been effective? What plans do you have to improve these efforts and how will you assess the effectiveness of these new efforts?

C. Retention of faculty

1. Faculty Retention Summary

Assess and summarize faculty turnover in your Unit over the past five years. What are the major causes of turnover? What changes, if any, are needed?

2. Impact of Salary Ranges

In what ways, if any, have University salary ranges and placement of new hires within those ranges influenced your Unit's ability to recruit and retain faculty?

D. Evaluation: Annual, Comprehensive, Promotion, Tenure and Post-tenure.

1. Faculty Evaluation Summary

Complete Table 4.3 Faculty Evaluation Record and assess your Unit's evaluation record.

2. Unit Criteria

If your Unit has approved unit criteria for promotion and tenure, include a copy in the appendices. Describe the evaluation process. Has your Unit developed unique criteria for evaluation of part-time faculty and post-doctoral researchers?

3. Faculty Mentoring

Describe your Unit's implementation of the new faculty mentor program. Describe the specific roles mentors play with new faculty. Have these roles been formalized in writing? If so, please include a copy in the appendices.

4. Promotion and Tenure Summary

Assess and summarize your Unit's success in the promotion and/or tenure (if appropriate) of faculty. What lessons have you learned from your successes and failures and what changes have occurred or are planned as a result? Has your Unit developed unique criteria and/or procedures for employing, evaluating, and/or compensating faculty in special programs (such as ship-board, other off-campus, travel study, non-credit, or extension credit programs?)

5. Impact of Reorganization on Evaluation

What effect, if any, has reorganization had on the annual tenure promotion/retention evaluation process?

6. Evaluation of Research Associates

Does your Unit evaluate research associates in any way? If so, how, how often and who conducts the evaluation? What changes should be made in this regard?

E. Instruction and Student Assistance

1. Instructional and Advising Summary

Using annual activity reports for the past three years complete Table 4.4 Instructional Activity Summary. Using the data summary provided to your Unit and Table 4.4 assess your Unit's involvement in instructional and advising activities. How are students assigned an advisor? What is the distribution of advising load among your faculty? Is the distribution of instructional and advising workload appropriate? If not, what should change?

2. Unit Involvement in Helping Students Find Employment
In what ways do Unit faculty help students locate employment? How successful have these efforts been? Are records of these activities kept? What improvements, if any, should be made?

F. Faculty development

1. Faculty Development Summary
Using annual activity reports for the past two years summarize and discuss faculty development within your Unit.

G. Research/Creative Activity

1. Research Summary
Using annual evaluation reports for the past two years, complete Table 4.6 Research/Creative Activity Summary. Assess the research/creative activities of your Unit. Relate these activities to the mission of your Unit and to the University. Please provide a summary of the most significant artistic creation, scholarly activity, and research by faculty during the past 5 years. (We will require exhibits for the accreditation teams, so please take steps to acquire supportive materials)
2. Impact of Research on Instruction
Evaluate the effect of faculty research activities in the Unit to instruction. Please provide representative examples of institutional and public impact of faculty scholarship and other creative endeavors during the past 5 years.
3. Grant/Sponsored Project Writing Summary
Assess and summarize the number of faculty members in your Unit who have written a grant proposal or received a grant over the past three years. What changes should be made and why? Is this level of grant writing appropriate for your Unit? If not, what changes should be made and how will you assess the effectiveness of these changes?
4. Incentives for Grant/Sponsored Project Writing
Describe any incentives your Unit uses to enhance research/creative activity and grant writing. Are these means working? If not, what changes should be made and why? How will you assess the effectiveness of these changes?
5. Faculty Research Highlights
Highlight a few significant scholarly activities and research by faculty during the past five years.

H. Service

1. Service Summary

Complete Table 4.7 Service Activity Summary. Assess and describe the effectiveness of service activities by your Unit. Please describe possible broader constituencies (“customers”) beyond this institution that you serve. Who (if any) have your collaborators been in those activities (other federal or state agencies, industry, other institutions?) Upon what evidence is your assessment based? What changes should be made and why? How will you assess the effectiveness of these changes?

2. Relating Service to Mission

How do your service activities relate to the mission of your Unit and UAF?

3. Involvement of Faculty with K-12

How many of your faculty interacted with local primary or secondary schools and in what ways during the past year? Is this an appropriate level of contact for your program given UAF's need to improve recruitment?

4. Faculty Service Highlights

Highlight a few significant service activities by your faculty during the past five years.

V. LIBRARY AND INFORMATION RESOURCES

Describe any changes in library and/or learning resources over the past five years that have positively or negatively impacted your Unit.

V. GOVERNANCE AND ADMINISTRATION

A. Faculty Governance

1. Faculty Involvement in Governance

Briefly describe and assess your faculty's involvement in faculty governance (faculty senate, campus wide committees such as tenure and promotion, core review, collective bargaining committees, etc.) over the past three years. What changes in involvement should be made and why?

2. Strengths and Weaknesses of Faculty Governance

From your Unit's perspective, what are the strengths and weaknesses of the faculty governance system?

B. Staff Governance

1. Staff Involvement in Governance

Briefly describe and assess your staff's involvement in staff governance (staff council, grievance committees, etc.) over the past three years. What changes in involvement should be made and why?

2. Strengths and Weaknesses of Staff Governance

From your Unit's perspective, what are the strengths and weaknesses of the staff governance system?

VII. FINANCE

A. Finance Summary

Assess your program's revenues and expenditures over the past four years, e.g., percentage of expenditures for personnel and non-personnel areas. How has the distribution of revenues and expenditures changed over this period? With respect to your mission, what impact has this had on your undergraduate and graduate programs, faculty development activities, equipment replacement, student hires, or other areas?

B. Faculty Role in Budgeting

Describe your faculty's role in Unit budget planning.

VIII. PHYSICAL RESOURCES AND STAFF SUPPORT

A. Staff Summary

Describe your Unit support staff in terms of numbers and balance in workload distribution. Discuss how the Retirement Incentive Program, reorganization of the colleges and schools, and any other factors have impacted the number of staff over the past five years. In order to better achieve your mission, what changes should be made in staffing and why? How will you evaluate whether these changes have been effective?

B. Physical Resources

1. Equipment

a. Equipment List

A list of specialized equipment for items valued more than \$10,000 should be included in the appendices. Please list and or describe any other significant equipment that helps you meet your mission.

- b. Equipment Condition and Adequacy
What is the condition and adequacy of your equipment? What measures should be taken?
 - c. Equipment Funding
What funds does your Unit use to replace equipment? Do you have an equipment replacement plan? If so, please include a copy in the appendices.
2. Facilities
 - a. Facilities Summary
Describe facilities (offices, teaching laboratories, etc.) used by your Unit.
 - b. Condition and Adequacy of Facilities
What is the condition and adequacy of your facilities? Are aspects of that condition in need of immediate attention and improvement?
 3. Additional Facility Needs
Are your Unit's needs for space being adequately met? If not, what additional kinds of space would meet those needs?

IX. INSTITUTIONAL INTEGRITY

Following are web sites of relevant UAF policies on institutional integrity (e.g., academic freedom, ethical standards, conflict of interest, fair treatment of employees and students, etc.).

<http://www.uaf.edu/uafgov/www/fspolicyindex.html>,
<http://www.alaska.edu/bor/regulation/4r/r04-10.html>, and
<http://www.alaska.edu/bor/policy/4p/p04-04.html>):

1. Institutional Compliance
Refer to these policies and identify any concerns you have about compliance by the university community.
2. Additional Departmental Policies
Identify any additional policies and/or standards specific to your Unit and/or discipline and discuss any concerns you have about your Unit's compliance.

X. RESPONSE TO PREVIOUS EVALUATION RECOMMENDATIONS

The 1990 evaluation section on faculty states the following: "There are relatively few serious problems which warrant specific comment. One of these is the power

of directors of institutes to appoint without following normal procedures for faculty appointments. It is good that such freedom no longer obtains to tenure track appointments.” Please comment on your Unit’s current practice in this regard. Are there changes that should be made?

XI. TABLES

Include completed Tables 4.1 through 4.7

XII. APPENDICES

1. Provide a copy of the vita of each full-time faculty member from the most recent annual activities report.
2. Equipment list provided and your list of additional equipment.
3. Approved Unit criteria for promotion and tenure if they exist.
4. Equipment replacement plan if one exists.
5. Recruiting brochures, student handbooks, videos, multimedia presentations, and web pages, etc. You will have an opportunity to update this information during the spring of 2001.
6. Any other material you would like to provide.