

PART I

PROCESS AND PROCEDURES FOR 4TH YEAR COMPREHENSIVE AND DIAGNOSTIC REVIEW

Information related to 4th Year Comprehensive and Diagnostic Review is included in the University of Alaska Fairbanks' *Policies and Regulations for the Appointment and Evaluation of Faculty*, also known as the "Blue Book," and in Article 9 of the collective bargaining agreement between the University of Alaska and United Academics-AAUP/AFT. 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 according to the guidelines and submit it to your dean or director no later than October 2. Part II of these Guidelines includes a detailed explanation of how to assemble your review file. Please note that Part III provides you with copies of all relevant materials and required forms.

B. The Review Process

1. Open Meeting Provisions

Evaluative meetings are not subject to the Alaska Public Meetings Act. Review committees shall annually determine whether discussions will be open or closed to the public and/or the candidate. The vote of the committee, however, shall take place in executive session and shall be closed to the public and the 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. The review schedule (included in Part III) reflects candidate response periods after each recommendation.

Materials may be added to the review file during the candidate response periods. A candidate may add materials to the review file outside of the response periods **only** if the information to be added is an update to an item already referenced in the prepared file. In this case, the candidate may add supporting documentation (for example, 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 attachments to the candidate's response and must be submitted within the response period as denoted on the review schedule.

Forms for your responses are included in Part III; however, you are welcome to submit responses to recommendations in other formats, including electronically. In preparing your responses, you may submit whatever documentation you feel is 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 by subsequent levels of review, they should be carefully and critically selected.

If you will be absent from campus for an extended period of time or at a point when a critical decision is to be made, you may delegate someone to act as your representative. If you wish to do so, 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 your designee, and it will be up to that individual to inform you and solicit your comments, or to act on your behalf.

3. Evaluation Criteria

The criteria for 4th Year Comprehensive and Diagnostic Review 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. These criteria are listed in Chapter III of the "Blue Book," UAF's *Policies and Regulations for the Appointment and Evaluation of Faculty*, and are to be used at all times, even if special unit criteria exist. If your unit has Faculty Senate-approved Unit Criteria, Standards, and Indices, these criteria will be used in the evaluation of your file in addition to the general criteria. (One set of criteria does not replace the other.)

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 any special standards and/or expectations that are identified in your Unit Criteria, Standards, and Indices, if applicable. A copy of your unit's current, Faculty Senate-approved criteria, standards and indices should be placed in your file. Copies of current unit criteria, standards, and indices may be obtained via the Provost's website or the Governance Office.

Reviewers will be expected to support their recommendations with substantive statements and examples of how and to what extent you do or do not demonstrate the quality of performance or level of professional accomplishments of a tenure-track or tenured faculty member. These recommendations shall be made within the context of your particular appointment and the workload distribution agreement that is completed each year.

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. The only exception is if the information to be added is an update to an item already referenced in the prepared file. In this case, the candidate may add supporting documentation (for example, as letters of acceptance of a manuscript or grant proposal awarded) at any time during the review process. *These items should be placed behind the most recent recommendation.* Other information or documentation, including letters of support on behalf of the candidate, may be added ONLY as attachments to the candidate's response and must be submitted within the response period as denoted on the review schedule.

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 promotion and tenure committees, provost, and staff as designated at the level of review).

6. Levels of Review and Recommendation

The various 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 for or against 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, you will receive notification that the committee's 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/academic unit and are affiliated with a second (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. If the committee elects to allow open meetings, they 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 or closed session.

The Committee will prepare a written recommendation with substantive rationale including the majority recommendation and minority opinion, and will include a record of the vote without individual attribution. The Office of the Provost will notify you when 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 and rationale for or against 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 undergoing 4th Year Comprehensive and Diagnostic Review. Should you desire that the chancellor review your file, you must make that request in writing.

C. Storage of Files

Many of the original documents included in your file – including but not limited to your CV, self evaluation, activity report, and recommendation letters – will be removed and permanently archived at the Rasmuson Library, with restricted access. To the best of our ability, all originals removed will be replaced with photocopies, and this version of your file will be returned to you in the fall so that you may build on it as you prepare for your tenure application.

E. Exceptions and/or Extenuating Circumstances

Any unusual situations not apparently covered by the documents governing promotion and tenure 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.