

UAF REGULATIONS FOR THE EVALUATION OF FACULTY:
INITIAL APPOINTMENT, PERIODIC REVIEW, RE-APPOINTMENT,
PROMOTION, AND TENURE
AND
SCHOOL OF MANAGEMENT UNIT CRITERIA
STANDARDS AND INDICES

THE FOLLOWING IS AN ADAPTATION OF UAF AND REGENTS CRITERIA FOR PROMOTION AND TENURE, SPECIFICALLY DEVELOPED FOR USE IN EVALUATING THE FACULTY IN THE SCHOOL OF MANAGEMENT. ITEMS IN BOLDFACE ITALICS ARE THOSE SPECIFICALLY ADDED OR EMPHASIZED BECAUSE OF THEIR RELEVANCE TO THE SCHOOL'S FACULTY, AND BECAUSE THEY ARE ADDITIONS TO AND CLARIFICATION OF UAF REGULATIONS. THESE UNIT CRITERIA ARE FOR USE IN THE ANNUAL EVALUATION OF FACULTY AS WELL.

CHAPTER I.
PURVIEW

The University of Alaska Fairbanks document, "Faculty Appointment and Evaluation Policies," supplements the Board of Regents (BOR) policies and describes the purpose, conditions, eligibility, and other specifications relating to the evaluation of faculty at the University of Alaska Fairbanks (UAF). Contained herein are regulations and procedures to guide the evaluation processes and to identify the bodies of review appropriate for the university.

The university, through the UAF Faculty Senate, may change or amend these regulations and procedures from time to time and will provide adequate notice in making changes and amendments.

These regulations shall apply to all of the units within the University of Alaska Fairbanks, except in so far as extant collective bargaining agreements apply otherwise.

The provost is responsible for coordination and implementation of matters relating to procedures stated herein.

CHAPTER II.
INITIAL APPOINTMENT OF FACULTY

A. Criteria for Initial Appointment

Minimum degree, experience and performance requirements are set forth in "UAF Faculty Appointment and Evaluation Policies," Chapter IV. Exceptions to these requirements for initial placement in academic rank or special academic rank positions shall be submitted to the chancellor or chancellor's designee for approval prior to a final selection decision.

B. Academic Titles

Academic titles must reflect the discipline in which the faculty are appointed.

C. Process for Appointment of Faculty with Academic Rank

Deans of schools and colleges, and directors when appropriate, in conjunction with the faculty in a unit, shall observe procedures for advertisement, review, and selection of candidates to fill any vacant faculty position. These procedures are set by UAF Human Resources and the Campus Diversity and Compliance (AA/EEO) office and shall provide for participation in hiring by faculty and administrators as a unit.

D. Process for Appointment of Faculty with Special Academic Rank

Deans and/or directors, in conjunction with the faculty in a unit, shall establish procedures for advertisement, review, and selection of candidates to fill any faculty positions as they become available. Such procedures shall be consistent with the university's stated AA/EEO policies and shall provide for participation in hiring by faculty and administrators in the unit.

E. Following the Selection Process

The dean or director shall appoint the new faculty member and advise him/her of the conditions, benefits, and obligations of the position. If the appointment is to be at the professor level, the dean/director must first obtain the concurrence of the chancellor or chancellor's designee.

F. Letter of Appointment

The initial letter of appointment shall specify the nature of the assignment, the percentage emphasis that is to be placed on each of the parts of the faculty responsibility, mandatory year of tenure review, and any special conditions relating to the appointment.

This letter of appointment establishes the nature of the position and, while the percentage of emphasis for each part may vary with each workload distribution as specified in the annual workload agreement document, the part(s) defining the position may not.

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CHAPTER III.
EVALUATION OF FACULTY FOR TENURE/PROMOTION

A. General Criteria

Criteria as outlined in "UAF Faculty Appointment and Evaluation Policies," Chapter IV, *AND SOM UNIT CRITERIA, STANDARDS AND INDICES*, evaluators may consider, but shall not be limited to, whichever of the following are appropriate to the faculty member's professional obligation: mastery of subject matter; effectiveness in teaching; achievement in research, scholarly, and creative activity; effectiveness of public service; effectiveness of university service; demonstration of professional development and quality of total contribution to the university.

For purposes of evaluation at UAF, the total contribution to the university and activity in the areas outlined above will be defined by relevant activity and demonstrated competence from the following areas: 1) effectiveness in teaching; 2) achievement in scholarly activity; and 3) effectiveness of service.

Bipartite Faculty

Bipartite faculty are regular academic rank faculty who fill positions that are designated as performing two of the three parts of the university's tripartite responsibility.

The dean or director of the relevant college/school shall determine which of the criteria defined above apply to these faculty.

Bipartite faculty may voluntarily engage in a tripartite function, but they will not be required to do so as a condition for evaluation, promotion, or tenure.

B. Criteria for Instruction

A central function of the university is instruction of students in formal courses and supervised study. Teaching includes those activities directly related to the formal and informal transmission of appropriate skills and knowledge to students. The nature of instruction will vary for each faculty member, depending upon workload distribution and the particular teaching mission of the unit. Instruction includes actual contact in classroom, correspondence or electronic delivery methods, laboratory or field and preparatory activities, such as preparing for lectures, setting up demonstrations, and preparing for laboratory experiments, as well as individual/independent study, tutorial sessions, evaluations, correcting papers, and determining grades. Other aspects of teaching and instruction extend to undergraduate and graduate academic advising and counseling, training graduate students and serving on their graduate committees, particularly as their major advisor, curriculum development, and academic recruiting and retention activities.

1. Effectiveness in Teaching

Evidence of excellence in teaching may be demonstrated through, but not limited to, evidence of the various characteristics that define effective teachers. Effective teachers **WILL DEMONSTRATE SOME, BUT NOT NECESSARILY ALL, OF THE FOLLOWING CHARACTERISTICS IN AN INDIVIDUAL YEAR:**

- a. are highly organized, plan carefully, use class time efficiently, have clear objectives, have high expectations for students;
- b. express positive regard for students, develop good rapport with students, show interest/enthusiasm for the subject;
- c. emphasize and encourage student participation, ask questions, frequently monitor student participation for student learning and teacher effectiveness, are sensitive to student diversity;
- d. emphasize regular feedback to students and reward student learning success;
- e. demonstrate content mastery, discuss current information and divergent points of view, relate topics to other disciplines, deliver material at the appropriate level;
- f. regularly develop new courses, workshops and seminars and use a variety of methods of instructional delivery and instructional design;
- g. may receive prizes and awards for excellence in teaching;

H. DISSEMINATE NEW IDEAS TO THE STUDENTS RESULTING FROM RESEARCH AND OTHER MANAGEMENT ACTIVITIES, SUCH AS CONSULTING AND SERVICE ON REVIEW PANELS;

I. MENTORING STUDENTS, UNDERGRADUATES AS WELL AS GRADUATES, IN QUALITY RESEARCH ACTIVITIES;

J. ENGAGE IN ADVISING STUDENTS.

2. Components of Evaluation

Effectiveness in teaching will be evaluated through information on formal and informal teaching, course and curriculum material, recruiting and advising, training/guiding graduate students, etc., provided by:

- a. systematic student ratings, i.e. student opinion of instruction summary forms.

And at least TWO of:

- b. narrative self-evaluation, ***WHICH PROVIDES A CLEAR STATEMENT OF TEACHING OBJECTIVES AND A SELF ASSESSMENT OF HOW THOSE***

OBJECTIVES ARE MET. EXAMPLES MAY INCLUDE STUDENT PROGRESS, REPRESENTED BY IMPROVEMENTS IN EARLY AND LATE SEMESTER PROJECTS, OR OTHER MECHANISMS THAT CAN DOCUMENT IMPROVEMENT, AND AN INVENTORY OF SKILLS LEARNED SELECTED FROM INDIVIDUAL STUDENTS' WORK.

c. peer/department chair classroom observation(s).

d. peer/department chair evaluation of course materials.

e. A CLASS PRE TEST AT THE BEGINNING OF THE SEMESTER OF NO MORE THAN TEN QUESTIONS FOLLOWED BY A POST TEST OF SIMILAR FORMAT AT THE END OF THE SEMESTER TO ASSESS STUDENT LEARNING.

f. DOCUMENTATION OF SCORES FROM ANY NATIONALLY NORMED COURSE-SPECIFIC EXAM.

C. Criteria for Research, Scholarly, and Creative Activity Inquiry and originality are central functions of a land grant/sea grant/space grant university and all faculty with a research component in their assignment must remain active as scholars. Consequently, faculty are expected to conduct research or engage in other scholarly or creative pursuits that are appropriate to the mission of their unit, and equally important, results of their work must be disseminated through media appropriate to their discipline. Furthermore, it is important to emphasize the distinction between routine production and creative excellence as evaluated by an individual's peers at the University of Alaska and elsewhere.

1. Achievement in Research, Scholarly and Creative Activity

Whatever the contribution, research, scholarly or creative activities must have one or more of the following characteristics:

a. They must occur in a public forum.

b. They must be evaluated by appropriate peers.

c. They must be evaluated by peers external to this institution so as to allow an objective judgment.

d. They must be judged to make a contribution.

2. Components of Research, Scholarly and Creative Activity

Evidence of excellence in research, scholarly, and creative activity may be demonstrated through, but not limited to:

- a. Books, reviews, monographs, bulletins, articles, proceedings and other scholarly works published by reputable journals, scholarly presses, and publishing houses that accept works only after rigorous review and approval by peers in the discipline.
- b. Competitive grants and contracts to finance the development of ideas, these grants and contracts being subject to rigorous peer review and approval.
- c. Presentation of research papers before learned societies that accept papers only after rigorous review and approval by peers.
- d. Exhibitions of art work at galleries, selection for these exhibitions being based on rigorous review and approval by juries, recognized artists, or critics.
- e. Performances in recitals or productions, selection for these performances being based on stringent auditions and approval by appropriate judges.
- f. Scholarly reviews of publications, art works and performance of the candidate.
- g. Citations of research in scholarly publications.
- h. Published abstracts of research papers.
- i. Reprints or quotations of publications, reproductions of art works, and descriptions of interpretations in the performing arts, these materials appearing in reputable works of the discipline.
- j. Prizes and awards for excellence of scholarship.
- k. Awards of special fellowships for research or artistic activities or selection of tours of duty at special institutes for advanced study.
- l. Development of processes or instruments useful in solving problems, such as computer programs and systems for the processing of data, genetic plant and animal material, and where appropriate obtaining patents and/or copyrights for said development.

SPECIFIC SOM CRITERIA FOR RESEARCH PERFORMANCE:

FOR PROMOTION TO ASSOCIATE OR FULL PROFESSOR, IT MAY BE SUFFICIENT FOR A FACULTY MEMBER TO DEMONSTRATE RESEARCH PRODUCTIVITY SINCE THE TIME OF LAST PROMOTION OF AT LEAST SIX JOURNAL ARTICLES THAT ARE EITHER SINGLE OR DOUBLE BLIND REFEREED, OR PUBLISHED IN AN EDITORIALY REVIEWED JOURNAL OF RECOGNIZED QUALITY. ALTERNATELY, A FACULTY MEMBER MAY PUBLISH FIVE SUCH JOURNAL ARTICLES AND TWO PAPERS PUBLISHED IN LESSER FORMAT, SUCH AS PAPERS AND PROCEEDINGS. HOWEVER,

A FACULTY MEMBER MAY NOT RECEIVE CREDIT MORE THAN ONCE FOR A PAPER THAT IS ESSENTIALLY THE SAME CONTENT. THOSE THAT PERFORM SIGNIFICANT PROFESSIONAL ACTIVITY AND ATTAINMENT OF PROFESSIONAL CERTIFICATION AS A CONDITION OF ACCREDITATION MAY CONSIDER A DETAILED PROFESSIONAL/INDUSTRY WORK REPORT OR DOCUMENTATION OF SUCCESSFUL COMPLETION OF A PROFESSIONAL EXAMINATION, SUCH AS C.P.A., C.F.A., OR SIMILAR ACCREDITATION.

ALL FACULTY MEMBERS MUST DEMONSTRATE AN INDEPENDENT AND COHERENT RESEARCH AGENDA. EVIDENCE OF THIS CAN INCLUDE SOLE AUTHORED PAPERS OR A CONVINCING RECORD OF INITIATION OF INDEPENDENT RESEARCH. TO DEMONSTRATE A CONSISTENT FLOW OF RESEARCH, A FACULTY MEMBER WHO HAS COMPLETED WORK BEFORE ARRIVING AT THIS UNIVERSITY CAN COUNT NO MORE THAN THREE PAPERS TOWARD PROMOTION IF THOSE PAPERS WERE PUBLISHED WITHIN SIX YEARS OF THE DATE THE CANDIDATE PETITIONS FOR PROMOTION.

D. Criteria for Public and University Service Public service is intrinsic to the land grant/sea grant/space grant tradition, and is a fundamental part of the university's obligation to the people of its state. In this tradition, faculty providing their professional expertise for the benefit of the university's external constituency, free of charge, is identified as "public service." The tradition of the university itself provides that its faculty assumes a collegial obligation for the internal functioning of the institution; such service is identified as "university service."

1. Public Service

Public service is the application of teaching, research, and other scholarly and creative activity to constituencies outside the University of Alaska Fairbanks. It includes all activities which extend the faculty member's professional, academic, or leadership competence to these constituencies. It can be instructional, collaborative, or consultative in nature and is related to the faculty member's discipline or other publicly recognized expertise. Public service may be systematic activity that involves planning with clientele and delivery of information on a continuing, programmatic basis. It may also be informal, individual, professional contributions to the community or to one's discipline, or other activities in furtherance of the goals and mission of the university and its units. Such service may occur on a periodic or limited-term basis. Examples include, but are not limited to:

- a. Providing information services to adults or youth.
- b. Service on or to government or public committees.
- c. Service on accrediting bodies.

- d. Active participation in professional organizations.
- e. Active participation in discipline-oriented service organizations.
- f. Consulting.
- g. Prizes and awards for excellence in public service.
- h. Leadership of or presentations at workshops, conferences, or public meetings.
- i. Training and facilitating.
- j. Radio and TV programs, newspaper articles and columns, publications, newsletters, films, computer applications, teleconferences and other educational media.
- k. Judging and similar educational assistance at science fairs, state fairs, and speech, drama, literary, and similar competitions.

2. University Service

University service includes those activities involving faculty members in the governance, administration, and other internal affairs of the university, its colleges, schools, and institutes. It includes non-instructional work with students and their organizations. Examples of such activity include, but are not limited to:

- a. Service on university, college, school, institute, or departmental committees or governing bodies.
- b. Consultative work in support of university functions, such as expert assistance for specific projects.
- c. Service as department chair or term-limited and part-time assignment as assistant/associate dean in a college/school.
- d. Participation in accreditation reviews.
- e. Service on collective bargaining unit committees or elected office.
- f. Service in support of student organizations and activities.
- g. Academic support services such as library and museum programs.
- h. Assisting other faculty or units with curriculum planning and delivery of instruction, such as serving as guest lecturer.
- i. Mentoring of faculty.

- j. Prizes and awards for excellence in university service.

K. PARTICIPATION IN STUDENT RECRUITING.

3. Professional Service

- a. Editing or refereeing articles or proposals for professional journals or organizations.
- b. Active participation in professional organizations.
- c. Active participation in discipline-oriented service organizations.
- d. Committee chair or officer of professional organizations.
- e. Organizer, session organizer, or moderator for professional meetings.
- f. Service on a national or international review panel or committee.

4. Evaluation of Service

Each individual faculty member's proportionate responsibility in service shall be reflected in annual workload agreements. In formulating criteria, standards and indices for evaluation, promotion, and tenure, individual units should include examples of service activities and measures for evaluation appropriate for that unit. Excellence in public and university service may be demonstrated through, e.g., appropriate letters of commendation, recommendation, and/or appreciation, certificates and awards and other public means of recognition for services rendered.

SPECIFIC MANAGING CRITERIA FOR SERVICE

A. ASSOCIATE PROFESSOR; POSITIVE CONTRIBUTIONS TO SCHOOL AND OR UNIVERSITY MATTERS, EFFECTIVE PROFESSIONAL CONTRIBUTIONS TO THE PUBLIC, AND/OR EFFECTIVE SERVICES TO THE PROFESSION ARE EXPECTED.

B. PROFESSOR: EVIDENCE OF LEADERSHIP IN THE SERVICE AREA IS EXPECTED. SIGNIFICANT CONTRIBUTIONS TO THE DEVELOPMENT OF SCHOOL AND/OR UNIVERSITY PROGRAMS SUCH AS COMMITTEE LEADERSHIP OF UAF FACULTY SENATE SERVICE, A UNION COMMITTEE, AND ASSOCIATED COMMITTEES ARE EXPECTED. EFFECTIVE APPLICATION OF SERVICE INCLUDES PROFESSIONAL EXPERTISE PROVIDED TO PROFESSIONAL OR PUBLIC ORGANIZATIONS SUCH AS BUSINESS SOCIETY LEADERSHIP, REVIEWING PROPOSALS, REFEREEING MANUSCRIPTS, AND EDITING FOR PROFESSIONAL ORGANIZATIONS OR PUBLICATIONS.