

The following motion passed at Faculty Senate meeting #232 on May 7, 2018

MOTION:

The UAF Faculty Senate moves to approve the Unit Criteria for the Geophysical Institute.

Effective: Fall 2018

Upon Chancellor Approval

Rationale: The Unit Criteria Committee assessed the unit criteria submitted by the Geophysical Institute (GI). Revisions were agreed upon by the GI department representatives and the Faculty Senate Unit Criteria Committee, and the unit criteria was found to be consistent with the UAF guidelines.

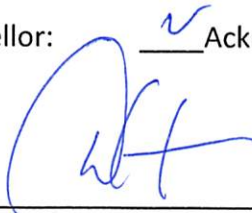
The revisions to the criteria include addition of content specifically addressing inventions and development of intellectual property, and minor document formatting.



Chris Fallen, UAF Faculty Senate President

The Chancellor: ^v Acknowledges

 Vetoes



Daniel M. White, UAF Chancellor

Date: 5/18/18

See attached Unit Criteria.

**UAF REGULATIONS FOR THE APPOINTMENT AND EVALUATIONS OF
FACULTY
AND GEOPHYSICAL INSTITUTE (GI) UNIT CRITERIA, STANDARDS, AND
INDICES**

The following is an adaptation of the UAF and Board of Regents' criteria for annual review, pre-tenure review, post-tenure review, promotion, and tenure, specifically adapted for use in evaluating the faculty of the Geophysical Institute (GI) Department/s. Items in boldface italics are those specifically added or emphasized because of their relevance to the department's/s' faculty, and because they are additions to UAF regulations.

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 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 and reside within a specific discipline.

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 positions. 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.

CHAPTER III.

Periodic Evaluation of Faculty

Those faculty of the Geophysical Institute who hold a tenure-track joint appointment with a UAF college or school are evaluated under the unit criteria of the respective college or school.

A. General Criteria

Criteria as outlined in "UAF Faculty Appointment and Evaluation Policies" Chapter IV, 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.

Bipartite faculty members at the Geophysical Institute predominantly fill positions performing in the research and service components of the University's mission, but may have a teaching component.

Specific sciences criteria for teaching performance:

Bipartite faculty who engage in teaching as an overload should not be required to do so as a condition for evaluation or promotion. Evaluations must be consistent with an individual faculty member's workload agreement. If a research faculty member has an assigned teaching component as part of their workload, teaching should be part of the

evaluation in the same proportion as it is to their whole workload for the entire review period.

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. ***When evaluating the quality of the teaching, consideration should be given to the nature of the course.*** Effective teachers

- 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. Demonstrate effective mentoring of undergraduate and/or graduate***

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 the following:
- b. narrative self-evaluation,
- c. peer/department chair classroom observation(s),
- d. peer/department chair evaluation of course materials.

Specific criteria for teaching performance:

- **Assistant professor:** *Evidence of teaching ability and a commitment to a quality and current teaching program. Student evaluations and summary statistics should show that the majority of students rate courses favorably, and, if not, there should be a definite upward trend showing improvement over time. Course materials such as syllabi, exams, projects and homework should reflect the course description and be contemporary. The faculty may provide evidence for active support of student research at the undergraduate and/or graduate level.*
- **Associate professor:** *The record must show that the teaching material is contemporary and relevant and that the presentations stimulate the learning process. Evidence of the expected quality of instructional performance may include, but is not limited to, course and/or curriculum development, novel approaches to instruction, versatility in instructional assignments, effective guiding and mentoring of individual students, or high quality student or other teaching evaluations (e.g. peer-evaluation). The record may also show active and successful mentorship in research at the undergraduate and/or graduate level. Such mentorship can include membership on graduate advisory committees.*
- **Professor:** *Significant contributions to the instructional program are expected. These contributions may include major improvements in course and curriculum offerings, securing funds to enhance instructional and/or laboratory settings, leadership in departmental level curriculum core revisions, student learning outcome assessments, student advising, and*

mentoring of graduate students to the completion of their degree. The faculty must show a consistent record of high-quality teaching.

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, *support research and/or contribute to the support and development of research partnerships and research facilities, collaborations and campaigns*, 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 *research problems, such as computer programs, and systems for the processing of data, sample preparation*, genetic plant and animal material, and where appropriate obtaining patents and/or copyrights for said development.
- m. *Mentoring students in research and laboratory techniques.*
- n. *Conducting experiments and producing scientific data used in scholarly publications.*
- o. *Inventions, disclosures with substantial documentation, patent applications and awards, and transfer of developed intellectual property (patents, copyrights, and trade secrets) to a commercial entity.*

Specific criteria for research performance:

- **Assistant professor:** *Evidence of the ability to establish a viable research program in the area of specialization, normally a sub-discipline of the natural sciences (with the option of research in science education). This should include several of the following:*
 - *Peer-reviewed publications from research performed at least in part during their current appointment*
 - *Proposals that were either funded or received favorable reviews.*
 - *Recruiting graduate and/or undergraduate research students*
 - *Acquiring data that promises to result in publications*
 - *Establishing a professional reputation that demonstrates visibility in the scientific community*

- *Presentations such as talks or poster presentations at scientific meetings*
- *Development of intellectual property into protected formats (patents, including pending patents, copyrights, and trade secrets) and commercialization of such intellectual property through university or private ventures.*
- ***Associate professor:*** *Must have established an appropriate research program. The faculty member should show independence and leadership by the creation of research ideas that translate into projects that may involve post-doctoral fellows, graduate and undergraduate students. Examples for such a successful research program may include:*
 - *Publications in refereed professional journals, or equivalent, demonstrating significant scientific contributions. It is important for the faculty member to clearly discuss the importance of their scientific contributions in the narrative.*
 - *Publication of discipline-relevant data and metadata, contribution to cyber infrastructure, or contributing to publicly available computer models*
 - *Presentation of research results at professional meetings*
 - *Leadership in preparation and submission of research proposals*
 - *Acquisition of external research funding*
 - *Having demonstrated successful mentoring of graduate and/or undergraduate students in the faculty's field of expertise which can be demonstrated for instance by graduating the student, student presentations and publications, student awards or grant success, professional placement of students after graduation.*
 - *Development of intellectual property into protected formats (patents, including pending patents, copyrights, and trade secrets) and commercialization of such intellectual property through university or private ventures.*
- ***Professor:*** *the research program should have produced a sufficient quality and quantity of publications to demonstrate the existence of an on-going, professional, independent research program. There could be a record of student involvement including successful mentoring of graduate and/or undergraduate students. It is expected that the faculty member should have attained an international reputation (as demonstrated by professional activities or presentations at meetings and by citations of publications or documented opinions of other scientists in the field). Evidence of quality publications may include data concerning:*
 - *External reviews stating the papers made major contributions*
 - *Invited talks and book chapters*
 - *Professional awards*

Within many disciplines it is common for the primary author to be listed last (often as the corresponding author); it is also considered favorable for students to be included as

coauthors or first authors. Therefore, in evaluating research performance in publication the number of first or sole authorships should not be given additional weight. Furthermore, it is essential that the faculty member clarifies in their narrative their role and research/creative/scholarly contributions in all collaborative efforts, including multi-authored publications.

D. Criteria for Public and University Service and Professional 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 program *contributions, including interviews*, 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.
- l. *Providing tours of research facilities to the general public (may also be counted as university or professional service depending on the audience).*

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, *research group*, 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 *including serving as new faculty mentors*.
- j. Prizes and awards for excellence in university service.
- k. *Serving on committees that represent the University at other professional institutions.*
- l. *Management and direction of research facilities and infrastructure that may include development of research partnerships, research expeditions and*

research and campaigns and maintaining scientific equipment.

m. Curating samples and data and/or the management and development of formally recognized university collections that serve as research resources for students and researchers at university, state, national and international levels.

n. Invoicing, transferring and securing of funds for the university for contract work (lab fees, consultant work) and intellectual property fees and commercialization fees.

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.
- g. Serving as a mentor/advisor, committee member or external examiner for students at other institutions.*

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, *and professional* 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.

Measures of effectiveness of service performance include (but are not limited to):

- *Accomplishments of the effort of organization to which service was provided.*
- *Official recognition of quality of service (e.g., awards, letters of recommendation).*

- *Opinions of clients served and/or colleagues involved in delivery of service.*

Specific criteria for service performance:

- **Assistant professor:** *None in addition to UAF criteria.*
- **Associate professor:** *Positive contribution to research group and/or university matters, effective professional contributions to the public, and/or effective service to the profession are expected.*
- **Professor:** *Evidence of leadership in the service area is mandatory. Significant contributions to the development of research group and/or university programs are expected, including service to the general public and/or Alaskan teachers.*