

**UAF REGULATIONS FOR THE EVALUATION OF FACULTY:
INITIAL APPOINTMENT, ANNUAL REVIEW, REAPPOINTMENT,
PROMOTION, TENURE, AND SABBATICAL LEAVE
AND
FISHERIES DIVISION UNIT CRITERIA
STANDARDS AND INDICES**

The following is an adaptation of UAF and board of regents (BOR) criteria for promotion and tenure, specifically developed for use in evaluating faculty in the fisheries division. Items in red boldface are those specifically added or emphasized because of their relevance to fisheries faculty, and because they are additions and clarifications to 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 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.

Adopted by faculty vote on December 8, 2010 with suggested revisions in response to Faculty Senate unit criteria review committee comments.

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.

C. Process for Appointment of Faculty with Academic Rank

Deans or schools and colleges, and directors when appropriate, in conjunction with the faculty in a unit shall establish 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.

CHAPTER III

Periodic Evaluation of Faculty

A. General Criteria

Criteria 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, **including curation**.

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 teaching enables learners to gain knowledge and /or skills. Effective teachers will demonstrate some, but not necessarily all, of the following characteristics in an individual year.**

Adopted by faculty vote on December 8, 2010 with suggested revisions in response to Faculty Senate unit criteria review committee comments.

Effective teachers:

- a. are highly organized, plan carefully, use class time efficiently, have clear objectives, have high expectations for **their** students;
- b. express positive regard for students, develop good rapport with students, show interest/enthusiasm for the subjects **being taught**;
- 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 **an** 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. **successfully mentor graduate students;**
- i. **may write text books or textbook chapters, write articles on teaching methods, develop case studies, organize teaching workshops, or prepare course modules for broad distribution,**

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.

Teaching is an important role of fisheries division faculty. Faculty members discharge their responsibility by teaching formal courses, advising undergraduate and graduate students,

Comment [KRC1]: A large part of a graduate student's learning experience is learning how to conduct high-quality scientific research. Resultant peer-reviewed publications authored by students are not only research products but evidence of the quality of the adviser's mentoring and thus should be included here.

Comment [KRC2]:
The FS committee asks: How is this publication distinguished from research activity?

Comment [KRC3]: In their research, Fisheries faculty contribute to the foundations of Fisheries Science. While articles on teaching methods or case studies intended for use in course modules are scholarly contributions and are included under research and scholarly activities, they are also evidence of above par commitment to effective teaching and thus should be included here.

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Adopted by faculty vote on December 8, 2010 with suggested revisions in response to Faculty Senate unit criteria review committee comments.

directing independent studies (497 or 697), supervising experiential learning and internships, and conducting informal courses or workshops. Teaching and advising graduate students is more demanding than teaching and advising undergraduate students; nevertheless, the extra effort faculty invest in graduate teaching and advising are central to fisheries division's mission. Faculty workload assignments may reflect dissimilar loads related to formal classroom teaching and graduate and undergraduate advising loads; however the guideline expectation is that faculty members will teach at least four academic credits in the classroom each year. Quality of classroom teaching is indicated by peer evaluations of course materials, peer evaluations of teaching performance, and the recurring level of enrollment in classes. Quality graduate advising is indicated by the success of students in completing degrees under the faculty member's supervision, and in their subsequent employment in professional or scientific capacities. Faculty will be recognized for advising graduate students who are not based in SFOS in the same way that they are recognized for advising graduate students who are based in SFOS. Additional evidence of teaching success includes results of student evaluations, publications based on students' thesis or dissertation research, student presentations at regional, national and international meetings; and awards to students.

Recognizing that workload assignments vary among faculty members the guideline expectation is that each candidate for tenure and promotion to associate professor should be able to identify at least two successful graduate students who have completed degrees under her or his supervision. Similarly, each candidate for promotion to professor should be able to identify at least six successful graduate students. In addition, candidates for promotion should be able to identify at least two regularly scheduled courses that they have developed or have primary responsibility for delivering and which are central to the undergraduate or graduate program requirements.

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 importantly, 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.

Adopted by faculty vote on December 8, 2010 with suggested revisions in response to Faculty Senate unit criteria review committee comments.

Deleted: non-SFOS

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Comment [KRC4]:
The FS committee remarks:
already covered above

Deleted: prizes and awards for teaching

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Comment [KRC5]:
The FS committee remarks:
thesis is evidence of teaching
publications should be
included under research
products

Comment [KRC6]: We believe that it makes sense to include student publications as evidence of teaching excellence for the following reasons:
* Graduate students that we mentor as committee chair or committee member are included and counted toward the teaching portion of our work load.
* A graduate student, who is successfully mentored, produces a thesis. The thesis represents a major learning experience during a graduate student's career, namely how to design, conduct and complete a research project.
* An index of the quality of this research learning experience (thesis) is whether the work is sufficiently meritorious to warrant peer-reviewed publications.
* Such publications also represent "research" and therefore also represent research products.

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Comment [KRC7]:
The FS committee asks: Do
you mean all candidates for
promotion to associate and
full?

Comment [KRC8]: Each candidate for promotion to associate professor should be able to identify two graduate students who have complet... [1]

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- 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 works at galleries, selection for these exhibitions being based on rigorous review and approval by peers, juries, recognized artists, or critics.
- e. Performance 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.

Faculty in fisheries applying for promotion or tenure must present evidence of substantial, high-quality contributions in research. While there is no substitute for the exercise of good judgment on the part of those who are called upon to assess research and scholarly productivity, it is the responsibility of each faculty member to explain and/or otherwise provide evidence of the significance of their research and scholarly activities. The varied nature of research and scholarly contributions make it difficult to identify simple criteria for assessing the quality and significance of such contributions. In general, the primary evidence of high quality research is publication of research results and interpretations in respected peer-reviewed journals, books or other media and evidence of substantial contribution to research is primary authorship by the applicant or his or her student, or leadership as principal investigator of the research—quality, as judged by Fisheries Division faculty peers, is more important than quantity. Fisheries Division faculty are expected to author an average of at least one refereed publication per year. Thus candidates for tenure and promotion to associate professor are expected to have authored at least six refereed publications; candidates for promotion to professor are expected to have authored at least twelve refereed publications. These expectations should be interpreted in the context of actual workload and adjusted accordingly.

Each promotion applicant's complete publication record, including papers published before they were affiliated with the UAF Fisheries Division, is relevant to tenure and promotion decisions. In addition, the nature of their workload assignments and their opportunity for publication throughout their career leading up to the review date is considered relevant to promotion and tenure decisions. The standard for tenure, promotion to associate professor, and satisfactory post-tenure review is satisfactory research performance for the period being evaluated. The standard for promotion to professor is sustained, excellent research performance, recognized nationally and internationally.

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Comment [KRC9]:
The FS committee asks:
Clarify typical workload - do you mean 45% teaching, 45% research, 10% service?

Comment [KRC10]: After thorough discussion, the faculty agreed that we expect an average of at least one refereed publication per faculty member per year

Deleted: Nevertheless, faculty with typical workload assignments

Comment [KRC11]:
The FS committee remarks:
Stated above

Deleted: Additional evidence of research quality includes: prizes and awards for contributions in research; authorship of books and chapters in books; external funding from sources known for rigorous review of proposals; presentation of research in seminars, at meetings, and symposia; publications that are not peer-reviewed; serving as an editor of a book, symposium proceedings or journal; and, organizing professional scientific conferences, and chairing sessions at conferences.

D. Criteria for Public and University Service

Public service is intrinsic to the land grant/sea grant/space grant tradition, and is 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 assume 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 that 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 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:

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- 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. ~~Unremunerated consulting in the faculty member's area of expertise and discipline consistent with the obligation for public service.~~
- 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 or trade journal 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.

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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, 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, **or program.**
- d. Participation in accreditation reviews.
- e. Service on collective bargaining unit committees or elected office.

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

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. Editing or refereeing articles or proposals for professional journals or organizations.

4. Other Service: Curation

Curators at the University of Alaska Museum (UAM) can hold a tenure-track faculty position. Rank and tenure are held within departments at UAF, and curators are thus treated as joint appointments between a department and the UAM. As is the case for all tenure-track faculty in Fisheries, curator's performances are evaluated on the basis of their activities in teaching, research, and service.

Comment [KRC12]:
The FS committee suggests:
Insert (UAM)
Deleted: University of Alaska
 Museum

- a. Curation involves the management and development of a formally recognized university collection that exists to serve as a research resource for students and researchers at university, state, national, and international levels. Examples of curatorial activities include, but are not limited to:
 - (i). Maintaining, enhancing, and enlarging the collection (includes computerization and database development, archival upgrades, specimen conservation and identification, and adding specimens or objects to existing collection);
 - (ii). Interacting with state and federal agencies and with the public on collections-related issues;
 - (iii). Facilitating collections use through loans, exchanges, and visiting researchers;
 - (iv). Maintaining appropriate permits (as needed for the collections);
 - (v). Supervising collections managers, student employees, and volunteers;
 - (vi). Working with public program staff to create exhibits and educational activities appropriate to the collection;

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- (vii). Pursuing funding for collections growth and maintenance;
- (viii). Producing curatorial or collections-related publications, reports, and/or manuals;
- (ix). Ensuring university compliance with state and federal laws and international treaties and agreements that pertain to the collection.

b. Specific criteria for curatorial performance:

Assistant professor and curator

Evidence of curatorial ability and a commitment to developing and managing research collections relevant to the area of specialization includes the following:

- (i). Curators will develop the collections as a permanent record of the natural and/or cultural diversity of Alaska, the circumpolar north, and beyond and as a research resource for studies of biological and/or cultural diversity.
- (ii). Collections care includes responsibility for the physical condition and storage of objects/specimens, corresponding documentation, budgetary management, and annual reports.
 - (1) Curators will preserve the specimens, artifacts, objects, and material under their purview through the use of methods and techniques professionally accepted within their respective disciplines.
 - (2) Curators will ensure that all records and field notes concerning collection materials are maintained in a secure fashion and meet or exceed documentation standards for their respective discipline.
 - (3) Curators will maintain current accession files, deaccession files, and catalogs of objects in their collections. They will develop electronic databases with computer data formats that follow data standards of the respective discipline and UAM.
 - (4) Curators will develop, maintain, and revise written policies and procedures for curation of objects or specimens in their collections.
- (iii). Curators will take part in interpretive activities of the museum in order to fulfill the museum's mission to interpret the natural and cultural history of Alaska.
- (iv). Curators will actively submit grant applications for external support for their curatorial activities and collections-based research.

Associate professor and curator

Consistent contributions to interpretive (education and exhibition) activities of the museum, response to collection-related inquiries (from other professionals, the public, and state agencies) and/or development of interpretive materials for the public-at-large are expected. Use of the collections for teaching and/or research must be evident. Active solicitation for external funds to support curatorial activities and collections-based research must be evident.

Professor and curator

Significant development of the collections under the curator's care is expected. This development includes sustained growth of the collections as research resources and as a means of fulfilling the museum's mission of acquiring, preserving in perpetuity, investigating, and interpreting objects and specimens relating to the natural and or cultural history of Alaska and the circumpolar north. Significance of collections will be measured in terms of research significance, value to University of

Comment [KRC13]:
The FS committee suggests: These products are compared to research publications and could be moved to scholarship/ research activity rather than service.

Comment [KRC14]: We do not set similar equivalencies for teaching or service activities. The faculty unanimously recommend that this section be stricken.

Deleted: In this regard, preparation of a small exhibit is approximately the equivalent of publication of a professional article; project direction of a large and complex exhibit that includes preparation of a serious catalog is approximately the equivalent of publication of a scholarly book.

Alaska research and instructional programs, and value to national and international research programs. The curator should be a recognized authority in his/her field, locally and nationally. He or she must have a record of success in acquiring external funds for curatorial activities and collections-based research.

5. 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 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.

University and public service is expected of all fisheries faculty. Pertinent service is related to the faculty member's professional expertise or university position. Some members may have greater or lesser than average assignments in service and the expectations of them should be adjusted accordingly. However, except for faculty on sabbatical leave, the guideline expectation is that every faculty member will spend at least one month of time annually on service related activities regardless of their level of research and teaching. Service is typically limited to 5.00 units (approximately 1.5 months) unless otherwise authorized in the workload proposal. The mix of public, university, professional, and other service may vary with the faculty member's field of expertise and stage of career. Some faculty may have substantial administrative or special assignments that increase the service portion of their workload. Evidence of high-quality performance can include specific accomplishments related to the service. Service on national or international bodies is expected of candidates for promotion to professor.

For faculty providing curation services, the application for promotion should include a letter prepared by a committee of tenured curators at the museum. Excellence in curation may be demonstrated through, e.g., appropriate letter of commendation, recommendation, and/or appreciation, certificates and awards, and other public means of recognition for services rendered.

Comment [KRC15]:
The FS committee asks:
Specify the typical workload.
Do you mean 45% teaching,
45% research, 10% service?
If someone buys out under a
research grant are they
expected to contribute one
month of service?

Comment [KRC16]: All Fisheries
Division faculty are expected to
maintain this level of university,
profession and public service
regardless of their level of
research or teaching.

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Comment [KRC17]:
The FS committee remarks:
Stated above.

Deleted: , awards and prizes given
in recognition of the service,
testimonial letters from recipients of
the service; and recurring requests to
perform a service

Adopted by faculty vote on December 8, 2010 with suggested revisions in response to Faculty Senate unit
criteria review committee comments.

Each candidate for promotion to associate professor should be able to identify two graduate students who have completed their degree. Each candidate for full professor should be able to identify six such students.