

**UAF REGULATIONS FOR THE EVALUATION OF FACULTY:  
INITIAL APPOINTMENT, ANNUAL REVIEW, REAPPOINTMENT,  
PROMOTION, TENURE, AND SABBATICAL LEAVE  
AND  
GRADUATE PROGRAM IN MARINE SCIENCE AND LIMNOLOGY,  
INSTITUTE OF MARINE SCIENCE,  
GLOBAL UNDERSEA RESEARCH UNIT  
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 WHO TEACH PRIMARILY IN THE GRADUATE PROGRAM IN MARINE SCIENCE AND LIMNOLOGY (GPMSL), AND ARE APPOINTED WITHIN THE SCHOOL OF FISHERIES AND OCEAN SCIENCES (SFOS) TO THE INSTITUTE OF MARINE SCIENCE (IMS) UNIT. ITEMS IN BOLDFACE ARE THOSE SPECIFICALLY ADDED OR EMPHASIZED BECAUSE OF THEIR RELEVANCE TO GPMSL 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.

## **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, **AND GPMSL 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.

***TEACHING IS AN IMPORTANT MISSION OF ALL SFOS TENURE-TRACK FACULTY; TEACHING IN SFOS IS NORMALLY CONDUCTED THROUGH EITHER THE GRADUATE PROGRAM IN MARINE SCIENCE AND LIMNOLOGY (GPMSL), THE UNDERGRADUATE MINOR IN MARINE SCIENCE, OR THE FISHERIES PROGRAM. THE MAJOR TEACHING ACTIVITIES OF MOST GPMSL FACULTY ARE CLASSROOM/LABORATORY/FIELD INSTRUCTION AT THE GRADUATE AND UNDERGRADUATE LEVEL. IT ALSO INCLUDES ADVISING GRADUATE STUDENTS ON THEIR THESIS AND DISSERTATION RESEARCH. GRADUATE CLASSROOM INSTRUCTION OFTEN REQUIRES EFFORT DISPROPORTIONATE TO THE NUMBER OF STUDENTS SERVED. THE NORMAL EXPECTATION FOR FULL-TIME (9 MONTH) TENURE-TRACK FACULTY IS 6 CREDITS PER YEAR. FACULTY CAN REDUCE CLASSROOM TEACHING TO A MINIMUM OF 3 CREDITS PER YEAR WITH EXTERNAL FUNDING BUY-OUT. FOR FACULTY WITH DIFFERENT WORKLOADS, THE EXPECTATION FOR FORMAL TEACHING IS TO BE ADJUSTED PROPORTIONATELY IN ACCORDANCE WITH ANNUAL WORK LOAD STATEMENTS.***

**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

- 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 and clientele 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.

**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.

***PERFORMANCE AS MAJOR ADVISOR IS EVALUATED BASED ON DEGREES COMPLETED UNDER THE FACULTY MEMBER'S SUPERVISION, SINCE EACH REPRESENTS A MAJOR INVESTMENT OF FACULTY TIME.***

***HOWEVER, IT IS RECOGNIZED THAT DEMAND FOR GRADUATE DEGREES IS NOT UNIFORM ACROSS DISCIPLINES, AND LIMITED AVAILABILITY OF STUDENTS MAY LIMIT A FACULTY MEMBER'S ACTIVITY IN GRADUATE ADVISING.***

***PROMOTION TO ASSOCIATE PROFESSOR REQUIRES THAT AT LEAST ONE M.S. GRADUATE DEGREE HAS BEEN COMPLETED, OR ONE Ph.D. STUDENT HAS MADE SUBSTANTIAL PROGRESS TOWARDS COMPLETION UNDER THE FACULTY MEMBER'S SUPERVISION AS MAJOR ADVISOR IF THE FACULTY MEMBER'S WORKLOAD INCLUDES TEACHING. PROMOTION TO PROFESSOR REQUIRES THAT AT LEAST TWO GRADUATE DEGREES (M.S. OR PH.D.) HAVE BEEN COMPLETED UNDER THE FACULTY MEMBER'S SUPERVISION AS MAJOR ADVISOR IF THE FACULTY MEMBER'S WORKLOAD INCLUDES TEACHING. ADDITIONAL EVIDENCE OF PERFORMANCE QUALITY INCLUDES PUBLICATION OF PEER- REVIEWED JOURNAL ARTICLES OR BOOK CHAPTERS BASED ON THE ADVISED STUDENT'S THESIS OR DISSERTATION RESEARCH; STUDENT PRESENTATIONS AT NATIONAL AND INTERNATIONAL MEETINGS; AWARDS TO STUDENTS; AND STUDENT SUCCESS IN INITIAL EMPLOYMENT AFTER GRADUATION.***

### **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 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.

***THE PRIMARY EVIDENCE OF HIGH RESEARCH QUALITY IS PUBLICATION OF RESEARCH RESULTS AND INTERPRETATIONS IN RESPECTED, NATIONAL OR INTERNATIONAL, PEER-REVIEWED JOURNALS OR PEER-REVIEWED BOOKS OR BOOK CHAPTERS. IN EVALUATING SUCH PUBLICATIONS, QUALITY, AS JUDGED BY GPMSL/SFOS FACULTY PEERS, IS MORE IMPORTANT THAN QUANTITY.***

***SECONDARY EVIDENCE OF RESEARCH SUBSTANCE AND QUALITY CAN INCLUDE PUBLICATIONS THAT ARE NOT PEER-REVIEWED, SUCH AS FINAL CONTRACT REPORTS, DATA REPORTS, AND WEBSITES.***

- b. Competitive grants and contracts to finance the development of ideas, these grants and contracts being subject to rigorous peer review and approval.

***SECONDARY EVIDENCE OF RESEARCH SUBSTANCE AND QUALITY CAN INCLUDE EXTERNAL FUNDING FROM SOURCES KNOWN FOR RIGOROUS PEER OR ORGANIZATIONAL REVIEW OF PROPOSALS.***

***IN ADDITION TO OBTAINING EXTERNAL FUNDING, SUPPORT AND TRAINING OF RESEARCH PERSONNELS, SUCH AS POST-DOCTORAL SCHOLARS AND TECHNICIANS THROUGH EXTERNAL GRANTS IS HIGHLY VALUED.***

- 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.
- m. *Editing or refereeing articles or proposals for professional journals or organizations.*

***FACULTY APPLYING FOR PROMOTION OR TENURE MUST PRESENT EVIDENCE OF HIGH-QUALITY CONTRIBUTIONS IN RESEARCH. FOR A FULL-TIME (9-MONTH) WORKLOAD, THE MINIMUM EXPECTATION FOR AWARD OF TENURE AND PROMOTION TO ASSOCIATE PROFESSOR IS A SUSTAINED PUBLICATION RECORD AVERAGING ONE PER YEAR, WITH A MINIMUM OF SIX. THE MINIMUM EXPECTATION OF PEER-REVIEWED PUBLICATIONS FOR PROMOTION TO PROFESSOR IS A SUSTAINED PUBLICATION RECORD AVERAGING ONE PER YEAR, WITH A MINIMUM OF TWELVE. TYPICALLY, AT LEAST HALF OF THE PUBLICATIONS AT EACH PROMOTION LEVEL WILL BE FIRST-AUTHORED BY THE CANDIDATE OR BY A GRADUATE STUDENT, UNDERGRADUATE STUDENT, POST-DOCTORAL SCHOLAR, OR TECHNICIAN UNDER THE CANDIDATE'S DIRECT SUPERVISION. IT IS THE CANDIDATE'S TOTAL PUBLICATION RECORD, REGARDLESS OF AFFILIATION, THAT IS CONSIDERED IN DETERMINING THESE COUNTS.***

#### **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."

***TO BE CONSIDERED IN PERFORMANCE EVALUATIONS, PUBLIC SERVICE ACTIVITIES MUST BE RELATED TO THE FACULTY MEMBER'S UNIVERSITY POSITION. SOME GPMSL FACULTY HAVE PART-TIME ADMINISTRATIVE POSITIONS THAT PROVIDE SERVICE TO A NATIONAL SCIENTIFIC COMMUNITY AND SIGNIFICANTLY INCREASE THE SERVICE PORTION OF THEIR WORKLOAD. THE PROPORTION OF WORKLOAD ASSIGNED TO FORMAL ADMINISTRATIVE DUTIES AND TO UNIVERSITY, PROFESSIONAL AND PUBLIC SERVICE IS OUTLINED IN THE ANNUAL WORKLOAD STATEMENT.***

##### **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:

- 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. ***VOLUNTARY consulting IN THE FACULTY MEMBER'S AREA OF EXPERTISE 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.

## **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.
- 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 **JUNIOR FACULTY**
- 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.

**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 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.

***FOR GPMSL FACULTY, EVIDENCE OF HIGH-QUALITY PERFORMANCE MAY INCLUDE (1) EVALUATION LETTERS FROM PEERS, ADMINISTRATORS, OR OTHERS WITH DIRECT KNOWLEDGE, (2) SPECIFIC ACCOMPLISHMENTS AS REPORTED IN THE SELF- EVALUATION AND/OR ACTIVITY REPORTS, AND (3) EVIDENCE OF REPEATED REQUESTS FOR THE FACULTY MEMBER TO PERFORM NEW OR EXPANDED SERVICE ACTIVITIES. SUCH REQUESTS ARE STRONG EVIDENCE FOR QUALITY PERFORMANCE.***

***FACULTY APPLYING FOR PROMOTION OR TENURE MUST PRESENT EVIDENCE OF QUALITY SERVICE CONTRIBUTIONS. FOR PROMOTION TO ASSOCIATE PROFESSOR AND TENURE, SERVICE IN AT LEAST TWO OF THE THREE CLASSES OF SERVICE (PUBLIC, UNIVERSITY, PROFESSIONAL) IS NORMALLY EXPECTED. FOR PROMOTION TO PROFESSOR, FACULTY SHOULD DEMONSTRATE AN EXPANDED SERVICE CONTRIBUTION, NORMALLY INCLUDING SERVICE AT THE NATIONAL OR INTERNATIONAL LEVEL.***