

**MUAF REGULATIONS FOR THE EVALUATION OF FACULTY:  
INITIAL APPOINTMENT, ANNUAL REVIEW, REAPPOINTMENT,  
PROMOTION, TENURE, AND SABBATICAL LEAVE  
AND  
INSTITUTE OF MARINE SCIENCE 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 INSTITUTE OF MARINE SCIENCE (IMS), WITHIN THE SCHOOL OF FISHERIES AND OCEAN SCIENCES. ITEMS IN BOLDFACE ARE THOSE SPECIFICALLY ADDED OR EMPHASIZED BECAUSE OF THEIR RELEVANCE TO IMS 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.**

**ULTIMATELY, IT IS THE DEAN'S, DIRECTORS' AND CANDIDATE'S RESPONSIBILITIES TO ENSURE THAT THE CANDIDATE'S ASSIGNMENTS AND PERFORMANCE WHILE AT RANK (AND THEIR SUCCESS IN MEETING THEM) ARE APPROPRIATE TO MEETING ALL PROMOTION AND TENURE CRITERIA.**

## **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

#### 1. General Criteria

Criteria outlined in "UAF Faculty Appointment and Evaluation Policies," Chapter IV, **AND IMS 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 IMS FACULTY; TEACHING IS CONDUCTED THROUGH THE GRADUATE PROGRAM IN MARINE SCIENCE AND LIMNOLOGY (GPMSL), FISHERIES OR THROUGH OTHER UA PROGRAMS. THE SCOPE FOR UNDERGRADUATE TEACHING BY MOST IMS FACULTY MAY BE LIMITED, BECAUSE THE PRIMARY MISSION OF SFOS IS GRADUATE EDUCATION. THE MAJOR TEACHING ACTIVITIES OF MOST IMS FACULTY ARE CLASSROOM/LABORATORY/FIELD INSTRUCTION AT THE GRADUATE LEVEL AND ADVISING GRADUATE STUDENTS ON THESIS AND DISSERTATION RESEARCH. GRADUATE CLASSROOM INSTRUCTION OFTEN REQUIRES EFFORT DISPROPORTIONATE TO THE NUMBER OF STUDENTS SERVED, WHEN COMPARED TO UNDERGRADUATE COURSES, SINCE THE FACULTY MEMBER MUST CONTINUOUSLY UPDATE COURSE MATERIALS TO REFLECT ADVANCES IN THE FIELD. THE MINIMUM EXPECTATION IS THAT WHILE EMPLOYED IN A TENURED OR TENURE-TRACK CAPACITY BY IMS, FORMAL TEACHING WILL AVERAGE 2.5 CREDITS PER YEAR.**

**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.**

**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.

**QUALITY IN FORMAL TEACHING FOR IMS FACULTY IS EVALUATED BY THE STANDARD MEANS OF SYSTEMATIC STUDENT EVALUATIONS, PEER EVALUATIONS OF COURSE MATERIALS, AND PEER EVALUATIONS OF TEACHING PERFORMANCE. 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 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. 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.
- 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. Editing or refereeing articles or proposals for professional journals or organizations.
- g. Scholarly reviews of publications, art works and performance of the candidate.

- h. Citations of research in scholarly publications.
- i. Published abstracts of research papers.
- j. 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.
- k. Prizes and awards for excellence of scholarship.
- l. Awards of special fellowships for research or artistic activities or selection of tours of duty at special institutes for advanced study.
- m. 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.

**THE PRIMARY MISSION OF IMS IS RESEARCH. THUS, FACULTY APPLYING FOR PROMOTION OR TENURE MUST PRESENT EVIDENCE OF SUBSTANTIAL, HIGH-QUALITY CONTRIBUTIONS IN RESEARCH. 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 SFOS FACULTY PEERS, IS MORE IMPORTANT THAN QUANTITY. THE MINIMUM EXPECTATION OF PEER-REVIEWED PUBLICATIONS FOR AWARD OF TENURE AND PROMOTION TO ASSOCIATE PROFESSOR IS A SUSTAINED PUBLICATION RECORD AVERAGING ONE PER YEAR, WITH A MINIMUM OF SIX, ASSUMING A TYPICAL RESEARCH WORKLOAD IN THE UNIT. AT LEAST THREE OF THESE MUST BE FIRST-AUTHORED OR SOLE-AUTHORED BY THE FACULTY MEMBER, OR FIRST-AUTHORED BY A GRADUATE STUDENT, POST-DOC OR EMPLOYEE FOR WHOM THE FACULTY MEMBER WAS MAJOR ADVISOR. 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, ASSUMING A TYPICAL RESEARCH WORKLOAD IN THE UNIT. AT LEAST SIX OF THESE MUST BE FIRST-AUTHORED OR SOLE-AUTHORED BY THE FACULTY MEMBER, OR FIRST- AUTHORED BY A GRADUATE STUDENT, POST-DOC OR EMPLOYEE FOR WHOM THE FACULTY MEMBER WAS MAJOR ADVISOR. IT IS THE CANDIDATE'S TOTAL PUBLICATION RECORD, REGARDLESS OF AFFILIATION, THAT IS CONSIDERED IN DETERMINING THESE COUNTS. SECONDARY EVIDENCE OF RESEARCH SUBSTANCE AND**

**QUALITY CAN INCLUDE EXTERNAL FUNDING FROM SOURCES KNOWN FOR RIGOROUS PEER OR ORGANIZATIONAL REVIEW OF PROPOSALS; AND PUBLICATIONS THAT ARE NOT PEER-REVIEWED, SUCH AS FINAL CONTRACT REPORTS, DATA REPORTS, AND WEBSITES. 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.**

#### **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."

**UNIVERSITY AND PUBLIC SERVICE ARE EXPECTED OF ALL IMS FACULTY. SUCH SERVICE ACTIVITIES MUST BE RELATED TO THE FACULTY MEMBER'S PROFESSIONAL EXPERTISE OR UNIVERSITY POSITION TO BE CONSIDERED IN PERFORMANCE EVALUATIONS. SOME IMS FACULTY MAY HAVE PART-TIME ADMINISTRATIVE POSITIONS OR SPECIAL ASSIGNMENTS THAT INCREASE THE SERVICE PORTION OF THEIR WORKLOAD. IN SUCH CASES THE EXPECTATIONS FOR TEACHING, RESEARCH AND SERVICE SHOULD BE REDUCED BY THE FRACTION OF ADMINISTRATIVE WORKLOAD. THE MINIMUM EXPECTATION IS THAT ONE MONTH OF TIME WILL BE SPENT ANNUALLY ON SERVICE RELATED ACTIVITIES, WITH REASONABLE BALANCE OF SCHOOL, UNIVERSITY AND PUBLIC 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:

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

## 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
- 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.

**QUALITY OF SERVICE ACTIVITIES FOR IMS FACULTY CAN BE DIFFICULT TO ASSESS. EVIDENCE OF HIGH-QUALITY PERFORMANCE CAN INCLUDE SPECIFIC ACCOMPLISHMENTS RELATED TO COMMITTEE WORK, REPORTED IN THE SELF-EVALUATION OR ACTIVITY REPORT; EVALUATION LETTERS FROM PEERS, ADMINISTRATORS, OR OTHERS SERVED; AND REPEATED REQUESTS TO PERFORM A SERVICE ACTIVITY, SINCE THOSE WHO USUALLY PERFORM POORLY ARE NOT SOUGHT AS REVIEWERS OR COMMITTEE**

**MEMBERS. FOR PROMOTION TO PROFESSOR, REASONABLE SERVICE  
AT THE NATIONAL AND INTERNATIONAL LEVEL IS EXPECTED.**

May 2005