The UAF Faculty Senate passed the following at Meeting #176 on September 12, 2011:

**MOTION:**

The UAF Faculty Senate moves to approve the Unit Criteria for the College of Engineering and Mines.

**EFFECTIVE:** Fall 2011
Upon Chancellor Approval

**RATIONALE:** The committee assessed the unit criteria submitted by the College of Engineering and Mines. Revisions were agreed upon by the department representatives and the Unit Criteria Committee, and the unit criteria were found to be consistent with UAF guidelines.

**President, UAF Faculty Senate**

**Date:**

**Chancellor's Office**

**DATE:**

**Chancellor's Office**

**DATE:**

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**UAF REGULATIONS FOR THE APPOINTMENT AND EVALUATIONS OF FACULTY AND COLLEGE OF ENGINEERING AND MINES UNIT CRITERIA, STANDARDS, AND INDICES**

**THE FOLLOWING IS AN ADAPTATION OF 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 COLLEGE OF ENGINEERING AND MINES’ DEPARTMENTS. 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 Appointment and Evaluation Policies,” Chapter IV. Exceptions to these requirements for initial placement in academic rank or special academic rank positions shall be submitted to the chancellor or chancellor’s designee for approval prior to a final selection decision.

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

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

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

E. Following the Selection Process

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

F. Letter of Appointment

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

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

CHAPTER III

Periodic Evaluation of Faculty

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. THE LEVEL OF PRODUCTIVITY EXPECTED OF A FACULTY MEMBER IN EACH AREA (TEACHING, RESEARCH, AND SERVICE) WILL BE COMMENSURATE WITH THE PERCENTAGE OF HIS OR HER WORKLOAD DEDICATED TO SUCH ACTIVITY.
Bipartite Faculty
Bipartite faculty are regular academic rank faculty who fill positions that are designated as performing two of the three parts of the university's tripartite responsibility.

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

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

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

1. Effectiveness in Teaching
   Evidence of excellence in teaching may be demonstrated through, but not limited to, evidence of the various characteristics that define effective teachers. Effective teachers \textit{will demonstrate some, but not necessarily all, of the following characteristics in an individual year:}

   a. are highly organized, plan carefully, use class time efficiently, have clear objectives, have high expectations for students;

   b. express positive regard for students, develop good rapport with students, show interest/enthusiasm for the subject;

   c. emphasize and encourage student participation, ask questions, frequently monitor student participation for student learning and teacher effectiveness, are sensitive to student diversity;

   d. emphasize regular feedback to students and reward student learning success;
e. demonstrate content mastery, discuss current information and divergent points of view, relate topics to other disciplines, deliver material at the appropriate level;

f. regularly develop new courses, workshops and seminars and use a variety of methods of instructional delivery and instructional design; including the development of distilled knowledge (for example: books, software, documentation) for student use;

g. may receive prizes and awards for excellence in teaching.

h. disseminate new ideas to the students resulting from research and other engineering activities, such as consulting and service on review panel;

i. involve students, especially graduate students, in quality research activities;

Specific CEM Criteria for Teaching Performance Before Promotion/Tenure or Appointment To:

I. ASSISTANT PROFESSOR: Evidence of teaching ability and a commitment to a quality teaching program must be provided, as well as evidence of an effort toward continual improvement.

II. ASSOCIATE PROFESSOR: The record must show that the material taught 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, effective guiding and mentoring of students, and effective classroom teaching performance. There must be evidence of successful completion of graduate student research (as a major supervisor or co-supervisor).

III. PROFESSOR: Significant contributions to the instructional program are expected. These may include, but are not limited to, contributions to major improvements in course and/or curriculum offerings, upgrading of instructional facilities, ability to motivate and/or inspire students, and exemplary training of graduate students. There should be a record of continuing successful mentorship of graduate students as exemplified by joint authorship of publications, involvement of graduate students in research projects, and completion of graduate degrees under his/her supervision since the previous promotion. It is expected that assessment of teaching by students and faculty demonstrate consistently high quality performance.
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.

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

1. **Achievement in Research, Scholarly and Creative Activity**
   Whatever the contribution, research, scholarly or creative activities must have one or more of the following characteristics:
   
   a. They must occur in a public forum.
   
   b. They must be evaluated by appropriate peers.
   
   c. They must be evaluated by peers external to this institution so as to allow an objective judgment.
   
   d. They must be judged to make a contribution.

2. **Components of Research, Scholarly and Creative Activity**
   Evidence of excellence in research, scholarly, and creative activity may be demonstrated through, but not limited to:
   
   a. Books, reviews, monographs, bulletins, articles, proceedings and other scholarly works published by reputable journals, scholarly presses, and publishing houses that accept works only after rigorous review and approval by peers in the discipline.
b. Competitive grants and contracts to finance the development of ideas, these grants and contracts being subject to rigorous peer review and approval.

c. Presentation of research papers before learned societies that accept papers only after rigorous review and approval by peers.

d. Exhibitions of art AND ENGINEERING work, SCIENTIFIC VISUALIZATIONS AND COMPUTER ANIMATIONS at galleries, CONFERENCES AND MUSEUMS, WHERE selection for these exhibitions IS 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 AND ENGINEERING works, SCIENTIFIC VISUALIZATIONS AND COMPUTER ANIMATIONS, and descriptions of interpretations in the performing arts, these materials appearing in reputable works of the discipline.

j. Prizes and awards for excellence of scholarship.

k. Awards of special fellowships for research or artistic activities or selection of tours of duty at special institutes for advanced study.

l. Development of processes or instruments useful in solving problems, such as computer programs and systems for the processing of data, genetic plant and animal material, and where appropriate obtaining patents and/or copyrights for said development.

SPECIFIC CEM CRITERIA FOR RESEARCH PERFORMANCE BEFORE PROMOTION/TENURE OR APPOINTMENT TO:

I. ASSISTANT PROFESSOR: EVIDENCE OF RESEARCH ABILITY AND A COMMITMENT TO ESTABLISH A VIABLE RESEARCH PROGRAM.

II. ASSOCIATE PROFESSOR: THE FACULTY MEMBER MUST HAVE ESTABLISHED AN APPROPRIATE RESEARCH PROGRAM THAT PRODUCES A SATISFACTORY NUMBER OF PUBLICATIONS IN REFEREED HIGH-QUALITY PROFESSIONAL JOURNALS (PREFERABLY INDEXED IN THE WEB OF SCIENCE (SCI), THE ENGINEERING INDEX (EI), AND OTHER
APPROPRIATE SCIENCE OR ENGINEERING INDEXES, WHERE APPLICABLE) AND PRESENTED RESEARCH RESULTS AT PROFESSIONAL MEETINGS. PAPERS IN PROCEEDINGS OF CONFERENCES KNOWN FOR RIGOROUS PEER-REVIEW AND DOCUMENTED LOW ACCEPTANCE RATES MAY BE CONSIDERED AS SUPPLEMENTAL PUBLICATIONS, WHERE APPLICABLE. THE SUBMISSION OF RESEARCH PROPOSALS AND ACQUISITION OF EXTERNAL RESEARCH FUNDING, THE COMPLETION OF CONTRACT RESEARCH REPORTS, AND PUBLICATION IN CONFERENCE PROCEEDINGS CONSTITUTE SUPPLEMENTARY EVIDENCE THAT THE RESEARCH PROGRAM IS OF HIGH QUALITY. SUSTAINED PRODUCTIVITY MUST BE SHOWN WITH ADEQUATE EVIDENCE OF RESEARCH ACTIVITIES AND PUBLICATIONS SINCE INITIAL APPOINTMENT, WITH THE CANDIDATE TAKING A LEADING ROLE IN RESEARCH AND PUBLICATIONS. THE FACULTY MEMBER MUST ALSO SHOW INDEPENDENCE AND LEADERSHIP BY THE CREATION OF RESEARCH IDEAS RESULTING IN JOURNAL AND CONFERENCE PUBLICATIONS THAT INVOLVE STUDENTS.

III. PROFESSOR: THE RESEARCH PROGRAM SHOULD HAVE PRODUCED A SUFFICIENT NUMBER OF PEER-REVIEWED JOURNAL ARTICLES (PREFERABLY INDEXED IN SCI, EI, AND OTHER APPROPRIATE SCIENCE OR ENGINEERING INDEXES WHERE APPLICABLE), CONFERENCE PUBLICATIONS AND OTHER FORMS OF LITERATURE, WHICH ALSO REQUIRE RIGOROUS PEER REVIEW, AND ARE PUBLISHED BY WELL-ESTABLISHED PUBLISHING HOUSES. TO INDICATE THE EXISTENCE OF AN ON-GOING, PROFESSIONAL, INDEPENDENT RESEARCH PROGRAM, THE PUBLICATIONS SHOULD BE OF SUFFICIENT QUANTITY AFTER THE PREVIOUS TENURE/PROMOTION/APPOINTMENT, WITH DOCUMENTED EVIDENCE OF HIGH QUALITY AND SHOULD DEMONSTRATE STUDENT INVOLVEMENT. A NATIONAL OR INTERNATIONAL REPUTATION OF THE CANDIDATE (E.G., AS DEMONSTRATED BY A HIGH NUMBER OF ARTICLE CITATIONS, PROFESSIONAL ACTIVITIES, PRESENTATIONS AT MEETINGS, AND DOCUMENTED OPINIONS OF OTHER ENGINEERS AND SCIENTISTS IN THE FIELD) IS EXPECTED.

D. Criteria for Public and University Service

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

1. Public Service

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

a. Providing information services to adults or youth.

b. Service on or to government or public committees.

c. Service on accrediting bodies.

d. Active participation in professional organizations.

e. Active participation in discipline-oriented service organizations.

f. Consulting.

g. Prizes and awards for excellence in public service.

h. Leadership of or presentations at workshops, conferences, or public meetings.

i. Training and facilitating.

j. Radio and TV programs, newspaper articles and columns, publications, newsletters, films, computer applications, teleconferences and other educational media.

k. Judging and similar educational assistance at science fairs, state fairs, and speech, drama, literary, and similar competitions.

2. University Service

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

a. Service on university, college, school, institute, or departmental committees or governing bodies.

b. Consultative work in support of university functions, such as expert assistance for specific projects.

c. Service as department chair or term-limited and part-time assignment as assistant/associate dean in a college/school.
d. Participation in accreditation reviews.

e. Service on collective bargaining unit committees or elected office.

f. Service in support of student organizations and activities.

g. Academic support services such as library and museum programs.

h. Assisting other faculty or units with curriculum planning and delivery of instruction, such as serving as guest lecturer.

i. Mentoring OF FACULTY.

j. Prizes and awards for excellence in university service.

k. SERVICE AS OUTSIDE REVIEWER ON THESIS COMMITTEES.

l. PREPARATION OF UNIVERSITY REPORTS AND ONLINE INFORMATION.

3. Professional Service

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

b. Active participation in professional organizations.

c. Active participation in discipline-oriented service organizations.

d. Committee chair or officer of professional organizations.

e. Organizer, session organizer, or moderator for professional meetings.

f. Service on a national or international review panel or committee.

4. Evaluation of Service

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

SPECIFIC CEM CRITERIA FOR SERVICE PERFORMANCE BEFORE PROMOTION/TENURE OR APPOINTMENT TO:
I. ASSISTANT PROFESSOR: EVIDENCE OF A COMMITMENT TO CONTRIBUTE TO THE SERVICE MISSION OF THE COLLEGE.

II. ASSOCIATE PROFESSOR: POSITIVE CONTRIBUTIONS TO DEPARTMENTAL AND/OR UNIVERSITY MATTERS, EFFECTIVE PROFESSIONAL CONTRIBUTIONS TO THE PUBLIC, AND/OR EFFECTIVE SERVICES TO THE PROFESSION ARE EXPECTED.

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

EXAMPLES OF SERVICE ACTIVITIES APPROPRIATE FOR FACULTY IN ENGINEERING INCLUDE (BUT ARE NOT LIMITED TO):

   a. K-12 AND/OR INFORMAL ENGINEERING EDUCATION;

   b. PRESENTATION OF ENGINEERING TO THE PUBLIC.

MEASURES OF EFFECTIVENESS OF PERFORMANCE INCLUDE (BUT ARE NOT LIMITED TO):

   a. ACCOMPLISHMENTS GAINED THROUGH SERVICE TO ORGANIZATIONS;

   b. OPINIONS OF CLIENTS SERVED AND/OR COLLEAGUES INVOLVED IN DELIVERY OF SERVICE.

E. Unit Criteria, Standards and Indices

Unit criteria, standards and indices are recognized values used by a faculty within a specific discipline to elucidate, but not replace, the general faculty criteria established in B, C, D, above, and in “UAF Faculty Appointment and Evaluation Policies,” Chapter IV for evaluation of faculty performance on an ongoing basis and for promotion, tenure, 4th year comprehensive and diagnostic review (United Academics only), and post-tenure review.

Unit criteria, standards and indices may be developed by those units wishing to do so. Units that choose not to develop discipline-specific unit criteria, standards and indices must file a statement stating so with the Office of the Provost, which shall serve as the official repository for approved unit criteria, standards and indices.
A unit choosing to develop discipline-specific criteria, standards and indices shall have such criteria, standards and indices approved by a majority of the discipline faculty. The unit criteria, standards and indices will be reviewed and approved by the cognizant dean who will forward the unit criteria, standards and indices to the provost. The provost will review for consistency with BOR and UAF policies and will forward these criteria, standards and indices to the Faculty Senate, which shall review and approve all discipline-specific criteria according to a process established by the Faculty Senate.

Unit criteria, standards and indices will be reviewed at least every five (5) years by the faculty of the unit. When reorganization results in a unit’s placement in another college/school structure, the cognizant dean, in consultation with the unit faculty, shall review unit criteria, standards and indices and revise if warranted. Unit criteria, standards and indices approved by the Faculty Senate prior to a unit’s reorganization shall remain in effect until reviewed and revised. Revision of unit criteria, standards and indices must follow the review process established by the Faculty Senate. If the unit criteria, standards and indices are not revised, a statement of reaffirmation of the current unit criteria, standards and indices must be filed with the Office of the Provost, following the review.

Unit criteria, standards and indices, when developed by the faculty and approved by the Faculty Senate, must be used in the review processes by all levels of review. Their use is **NOT** optional. It shall be the responsibility of the candidate for promotion, tenure, 4th year comprehensive and diagnostic review (United Academics only), and post-tenure review to include these approved unit criteria, standards and indices in the application file.

**F. Annual Evaluation of Non-tenured Faculty with Academic Rank**

1. **Process of Evaluation**
   There will be annual evaluations of all untenured faculty members holding academic rank. Each faculty member shall submit a professional activities report to the campus director or college/school dean according to a schedule announced by the provost. The annual professional activities report will be accompanied by a current curriculum vita.

   The evaluations performed by the campus director or college/school dean shall include explicit statements on progress toward meeting criteria for tenure and promotion in their written evaluations. The dean’s/director’s evaluation shall reference the faculty member’s workload agreement in commenting on progress. The director or dean shall provide a copy of a written evaluation to the faculty member.

   In the case of a faculty member having a joint appointment, the dean will coordinate the review and recommendation with the director as appropriate.
G. Periodic Evaluation of Tenured Faculty Members

1. Frequency of Evaluation
   a) All tenured faculty at UAF shall be evaluated once every three years according to a schedule and process announced by the Provost.

   b) For tenured faculty with joint appointments, the cognizant dean will arrange a review that assures that all appropriate administrators provide a written evaluation of the faculty member. The dean will inform the faculty member of these arrangements.

2. Annual Activities Report
   All tenured faculty shall prepare a professional activities report annually and submit it to the dean or director according to a schedule announced by the provost.

H. Evaluation of Faculty with Special Academic Rank
   Special academic rank faculty are appointed for a specified period of time. They are to provide evidence of effectiveness in their assigned responsibilities during the term of their appointment when requested by their college/school dean or institute director according to the process set forth by the provost.

1. Process of Evaluation
   The college/school dean or institute director shall require an annual activities report of a faculty member who has an appointment renewed beyond the initial year of appointment. The review process outlined above for academic rank faculty shall apply. The optional process for the development and approval of the unit criteria, standards and indices as outlined above in Chapter III, E. shall also apply to the definition and evaluation of faculty in special academic rank positions.

   The appointment to special academic rank shall terminate on the date specified in the letter of appointment, and implies no expectation of a subsequent appointment.