

# UNIVERSITY POLICIES AND PROCEDURE

*The Faculty  
Blue Book*

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## Chapter I: Definitions

As used in these procedures, unless otherwise specified, the following terms shall mean:

1. “University system, University of Alaska, University of Alaska system” The public universities and community colleges of the State of Alaska referenced collectively as a system of higher education.
2. “University” University of Alaska Fairbanks.
3. “Board of Regents” The Board of Regents (BOR) of the University of Alaska System.
4. “President” The chief executive officer of the University of Alaska System and of the BOR.
5. “Chancellor” The chief executive officer of the University of Alaska Fairbanks.
6. “Campus Director” The chief executive officer of one of the community colleges within the University of Alaska system. At UAF, “Campus Director” means Director as used in AS 14.40.590 and reports to the Vice Chancellor of Rural, Community and Native Education.
7. “Faculty” Those persons who have accepted and hold appointment to academic rank or special academic rank.
8. “Academic Ranks” Ranks held by persons having the title of professor, associate professor, and assistant professor. These titles denote academic rank exclusively. The title of instructor may also be a title of academic rank at the discretion of the policies and procedures approved for each university, or when included in the description of membership in the relevant Article of a collective bargaining agreement. Faculty holding academic rank are eligible for promotion and tenure. Non-tenure track faculty also hold academic rank, and are eligible for promotion.
9. “Special academic ranks” Ranks held by persons having the following title and the qualification specified: instructor, lecturer, post-doctoral researcher, and research associate academic.
  - a. “Lecturer” Employed to teach full- or part-time.
  - b. “Instructor” A person employed to teach and perform other faculty functions as assigned.

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- c. “Post-Doctoral Researcher” A person holding a terminal degree who is engaged in a temporary period of mentored research and/or scholarly training for the purpose of acquiring professional skills and possibly being the Principal Investigator on proposals.
- d. “Research Associate Academic” A person in a temporary Research Faculty position with possible Principal Investigator restrictions on external proposals.

These titles denote special academic rank exclusively. The title of instructor may also be a title of special academic rank at the discretion of the policies and procedures approved for each university, or when included in the description of membership in the relevant Article of a collective bargaining agreement.

10. Academic titles may be preceded by the following terms:

Adjunct: employed to teach one or more courses up to 15 credit hours per regular academic year, or other academic assignment at less than 50 percent of a full-time appointment;

Affiliate: voluntary faculty service, not employed by the university;

Associated: a UAF faculty member who has an association with a unit or department that is not their primary unit or department;

Clinical: special category reserved for practitioners in the health care delivery professions or other relevant professions;

Extension: employed to perform the faculty functions expected of members of cooperative extension

Research: employed primarily to conduct research and implement research programs;

Term: employed for a specified period of time up to five years and may be renewed;

Visiting: employed to perform the faculty functions expected of academic rank for a specific period;

11. “Policies and procedures approved for each university.” Policies and procedures designed by each university for its own use and approved by the Board of Regents.

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12. “Tenure.” The status of holding a faculty appointment on a continuing basis following evaluation and award according to the terms of Chapter IV herein and BOR Policy 04.04.04.B.
13. “Tenure track position.” A tenure track position is one which may lead to consideration for appointment to tenure as described in the policies and procedures for each university. A tenure track position requires the performance of faculty function at least 50% of full-time.
14. “Non-tenure track position.” A non-tenure track position is one which does not provide a faculty member guaranteed rights to consideration for appointment to tenure.

## Chapter II: Appointment of Faculty

### A. Appointment Categories

The following categories of appointment shall be used to fully specify the type of appointment and associated rights:

#### a. Type of Position

- (1) Tenure track position. Faculty appointed to tenure track positions either hold tenure or may become eligible for consideration for appointment to tenure under the conditions stated in Chapter III and BOR Policy 04.04.04.B. Time spent in these positions shall be counted towards the maximum time by which a tenure track appointee must be considered for tenure for continuation of employment. Faculty appointed to tenure track positions shall have titles of academic rank. (See also Chapter I, 10 and BOR Policy 04.04.030 A.)
- (2) Non-tenure track position. Faculty appointed to non-tenure track positions have no rights to consideration for appointment to tenure. Part-time or full-time appointment in a non-tenure track position shall not count as part of the probationary period of a tenure-track appointment at the university except by agreement between the faculty member and the hiring authority at the time of hire. Credited time so agreed upon shall not reduce the normal time in rank for the mandatory tenure and promotion review unless specified in the initial letter of appointment to a tenure track position. Faculty appointment to these positions shall have titles of special academic rank. (see also Chapter I, 9).

#### b. Tenure Status

A faculty member appointed to a tenure track position may receive tenure only under the conditions specified in Chapter III herein and BOR Policies 04.04.040 (B) and 4.04.050 (B).

#### c. Faculty Rank and Title

- (1) Academic rank. Titles of academic rank shall be the same throughout the university. Titles designating academic rank exclusively are: assistant professor, associate professor, and professor. Titles of academic rank may be preceded by the terms adjunct, affiliate, associated, term, visiting, research, or clinical.
- (2) Special academic rank. Titles of special academic rank shall be the same throughout the university. Titles designating special academic rank exclusively are: instructor, lecturer, post-doctoral researcher, and research associate academic.

d. Continuing, Term, and Terminal Appointments

- (1) Continuing appointment. A continuing appointment is one which is expected to continue unless a faculty member is terminated in accordance with policies defined in Chapter IV of this document, BOR Policy 04.04.04(C) and in compliance with the Collective Bargaining Agreements. Continuing appointments shall be given with appointment to academic rank and tenure track positions, with or without tenure. A continuing appointment may be appropriate for an appointment to non-tenure track faculty, in which case continuing appointments may be made for up to five years in duration. Appointment may be renewed in the manner specified in Chapter V of this document and BOR Policy 04.04.04, and in compliance with the extant Collective Bargaining Agreement.
- (2) Terminal appointment. A terminal appointment is a term appointment used when a decision has been made to terminate a faculty member at the end of the next appointment period, in accordance with the policies in Chapter V of this document.
- (3) Term appointment. A term appointment is one that is expected to expire at the end of a specified period of up to five years unless renewed or terminated early in accordance with P04.04.047, and in compliance with extant Collective Bargaining Agreement. Such appointments may not be made for periods longer than five years, but may be renewed.

e. Appointments of Distinction for Faculty

- (1) Distinguished and University Professors. Tenured appointment as Distinguished Teaching Professor; Distinguished Research Professor, Distinguished Service Professor, or University Professor may be given by action of the Board of Regents on recommendation of the appropriate academic unit peer review committee and concurrence of the chancellor and the president.
- (2) Distinguished Visiting Professors. Appointment as Distinguished Visiting Professor shall be made by the chancellor, following consideration of recommendations of the appropriate academic unit peer review committee. Such appointment shall be reported to the president and shall be a non-tenure track appointment for a period of time not to exceed three years. These appointments may be renewed, following the consideration of the faculty.
- (3) Professor Emeritus or Emerita. Appointment as Professor Emeritus or Emerita is an honor conferred by the chancellor, following consideration of recommendations by the faculty, upon an outstanding retiree of the university as described in this document, the document "UAF Regulations for the

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**B. Process for Appointment of Faculty**

- a. Process for Appointment of Tenure Track and Non-Tenure Track Faculty  
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 Department of Equity and Compliance (AA/EEO) office and shall provide for participation in hiring by faculty and administrators as a unit.

**C. Evaluation of Faculty for Initial Appointment**

The appropriate rank for initial appointment shall be determined based upon the criteria and minimum eligibility requirements identified below for that rank. Years of equivalent service in a comparable institution of higher education shall also be a consideration in determining appropriate initial rank.

- a. Minimum Degree Requirements:

Earned doctorate or a disciplinary terminal degree

OR

For appointments for which the doctoral degree is not the appropriate degree, academic preparation as evidenced by advanced degree(s) and experiences sufficient to fulfill the requirements of faculty obligation as defined in Chapter III.C.1 of this document.

OR

Bachelor's degree for faculty in vocational/technical fields for which there is no recognized academic degree, and/or appropriate licenses and certifications and appropriate experience as reflected in unit criteria.

- b. Minimum Experience Requirements:

Assistant Professor. Demonstrated capability to perform effectively in the areas of teaching, in research/scholarly/creative activity, and in service to the extent consistent with the position's areas of emphasis.

Associate Professor. Service at the rank of assistant professor, associate professor or equivalent professional experience; and a record of excellence in teaching, in



research/scholarly/creative activity, and in service, to the extent consistent with the position's areas of emphasis and the criteria for promotion to this rank.

Professor. Service at the rank of associate professor, professor or equivalent professional experience; and recognized excellence in teaching, in research/scholarly/creative activity, and in service, to the extent consistent with the position's areas of emphasis and the criteria for promotion to this rank.

**Exceptions:** Exceptional people not meeting the above criteria may be considered for appointment on a case-by-case basis and must be approved by the chancellor or chancellor's designee.

c. Special Academic Ranks:

Qualified Academic Rank Appointments. Degree requirements for these specially focused appointments are the same as those identified for initial placement of regular academic rank faculty (Chapter II.C.a. above).

Experience/performance requirements for appointment in a special academic rank position shall be determined based on performance standards of a quality equivalent to those required for academic rank, except that they shall apply normally to only one area of performance.

Other Special Rank Titles: Instructor or Lecturer. Demonstration of effective teaching performance OR record of appropriate educational and work experience of sufficient length and quality to demonstrate breadth of knowledge in the discipline and indicate high potential for effective teaching.

In order to acknowledge continuing, outstanding quality instruction in certain disciplines, it is intended that the university will provide a mechanism by which faculty having such specialties may be recognized and compensated in a manner which reflects their extended experience, breadth of professional development, and curricular leadership.

**D. Following the Selection Process**

The dean or director shall appoint the new faculty member in accordance with the processes announced by the provost and advise the provost 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.

**E. Letter of Appointment**

The initial letter of appointment shall specify the nature of the assignment, the Classification of Instructional Program (CIP) Code assigned to the faculty member, the percentage

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emphasis that is to be placed on each of the parts of the faculty responsibility, mandatory year of tenure review, and if applicable any special conditions relating to the appointment. Initial letters of appointment for UNAC tenure track faculty as Assistant Professor shall also specify the year of 4th Year Comprehensive and Diagnostic Review. The percentage of emphasis for each part of the faculty responsibility may vary with each workload distribution as specified in the annual workload agreement document.

#### **F. Appointment Year and Appointment Obligation**

Unless the terms of appointment otherwise provide, the normal appointment year shall be from July 1 to June 30 or a portion thereof, regardless of payroll mode. The duration of appointment obligation may be for a full year or less as described below:

1. Fiscal year obligation

An obligation of service for the full fiscal year, i.e., twelve months.

2. Academic year obligation

An obligation of service for the academic year as set by the university for the Fairbanks campus and/or the community campuses.

3. Institutional year obligation

An obligation of service for any period less than a full year, other than the academic year.

Academic year and institution year faculty may be required to serve at dates necessitated by a unit's operating requirements.

#### **G. Faculty Obligation**

1. Duties

Faculty obligation may include teaching, research/scholarly/creative activity, service, and other duties and responsibilities required of a faculty member during the appointment year, and shall be consistent with academic rank and professional or disciplinary field, as agreed to in the faculty workload agreement.

2. Non-University Activities

A faculty member shall not engage in outside activities which interfere with or are inconsistent with the performance of faculty obligation or are determined to run counter to the provisions of the Alaska Executive Branch Ethics Act (AS 39.52) or Board of Regents Policy 04.10.030 or University Regulation 04.10.030 governing conflict of interest.

#### **H. Method of Appointment**

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All appointments shall be made by the chancellor or the chancellor's designee in accordance with BOR Policy and policy and procedures approved for the University of Alaska Fairbanks.

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## Chapter III: Faculty Evaluation

### A. Purpose

It is the policy of the university to evaluate faculty on the basis of the criteria identified below. Evaluations shall appraise the extent to which each faculty member has met the performance assignment, the extent to which the faculty member's professional growth and development have proceeded, and the prospects for the faculty member's continued professional growth and development. Evaluations shall also identify changes, if any, in emphasis required for promotion, tenure and continued professional growth and may result in the initiation of processes to improve performance.

Coordination of the evaluation processes for annual evaluation, reappointment, promotion, tenure, 4th-year comprehensive and diagnostic review, and post-tenure review shall be the responsibility of the provost, who shall establish and distribute guidelines and schedules for the evaluation processes. Written documentation of the evaluation summary shall be made available to the faculty member being evaluated.

For purposes of evaluation at UAF, the total contribution to the university and activity in the areas outlined below will be defined by demonstrated competence from the following areas: 1) effectiveness in teaching; and/or 2) achievement in research, scholarly and creative activity; and/or 3) effectiveness of service. It is the responsibility of the dean or director of each school and college, in concert with the overall mission of the university, to define the proportion of faculty effort which is to be directed toward meeting the responsibility in each of the workload areas. Each individual faculty member's proportionate professional responsibility shall be reflected in annual workload agreements and performance evaluations.

### B. Types of Evaluation for Different Faculty

#### 1. Annual Evaluation of Tenured, Tenure-Track, and Non-tenure Track Faculty with Academic Rank

There will be annual evaluations of all tenured and untenured faculty members holding academic rank. Each faculty member shall submit an Annual Activities Report to the dean, director or designee according to a schedule announced by the provost and as described by the extant bargaining agreement applicable to the faculty member. The Annual Activities Report will be accompanied by a current curriculum vita and a brief self-evaluation narrative. The faculty member may submit additional documentation at their discretion. The dean, director, or designee may consider additional information contained within the faculty member's academic record file and other files as defined in the extant bargaining agreement. The dean, director or

designee shall provide a copy of a written evaluation to the faculty member as described in the extant bargaining agreement.

For non-tenure-track faculty members the evaluations performed by the dean, director or designee shall include explicit statements on progress toward meeting criteria for promotion in their written evaluations and shall reference the faculty member's workload agreement in commenting on progress.

For tenure-track faculty members, the evaluations performed by the dean, director or designee 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. Based upon review of the faculty member's performance record, the dean, director or designee shall approve reappointment or issue notification of termination, including non-retention and non-renewal, in the manner and by the deadlines set forth in the extant collective bargaining agreement applicable to the faculty member.

For faculty members with joint appointments, the dean, director or designee of the school or college of the faculty member's primary academic appointment or locus of tenure will arrange a review that assures that the dean, director or designee of the unit of joint appointment of the faculty member provides a written evaluation of the faculty member, as appropriate.

## 2. Fourth Year Comprehensive Review of Tenure-track Assistant Professors

Faculty members who are appointed at the tenure-track assistant professor rank shall receive a comprehensive and diagnostic review in the fourth year of their appointment. This review will be conducted by the appropriate academic unit peer review committee, the dean, director or designee, and the university-wide peer review committee in accordance with the procedures for evaluation provided by the extant bargaining agreement. The purpose of the comprehensive review is to assess progress toward tenure and promotion. The review shall proceed to the provost; it may proceed to the chancellor at the written request of the faculty member.

The faculty member shall submit a file including the following documents:

- a) Current CV;
- b) Annual workload assignments for the period under review;
- c) A cumulative activity report for the period under review;
- d) Feedback from the dean, director, or designee in response to the Annual Activity Reports for the period under review;
- e) Evidence of teaching, research and service effectiveness for the years under review, where applicable;

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- f) Self-evaluation that summarizes the faculty member's scholarly contributions and accomplishments in other areas included in their workload agreements for the period under review. If the feedback to previous evaluations noted areas for improvement, then the self- evaluation shall include a summary of the progress made to address those areas;
- g) Other materials as specified in the unit peer criteria;
- h) Other materials at the discretion of the faculty member.
- i) Unit criteria of the faculty member's unit.

For faculty members with joint appointments, the dean, director or designee of the school or college of the faculty member's primary academic appointment or locus of tenure will arrange a review that assures that the dean, director or designee of the unit of joint appointment of the faculty member provides a written evaluation of the faculty member. The dean, director or designee of the faculty member's primary academic unit will inform the faculty member of these arrangements.

### 3. Evaluation of Tenure Track, Tenured, and Non-tenure Track Faculty Members for Promotion

Tenure track, tenured, and non-tenure track faculty members shall receive a comprehensive and diagnostic review for promotion by the appropriate academic unit peer review committee, the dean, director or designee, and the university-wide peer review committee in accordance with the procedures for evaluation provided by the extant bargaining agreement. The review will proceed to the provost and then to the chancellor, who may promote qualified faculty members when promotion would be consistent with institutional need, mission, and resources. The quality of performance expected for CBA eligible non-tenure track faculty is equivalent to that described for tenure-track faculty and is based on the workload. The composition of the file for non-tenure track faculty shall be the same as described below, EXCEPT that each of the three areas, teaching, research, and service should only be included if they are part of the faculty's negotiated workload during the period of review.

The faculty member shall submit a file including the following documents:

- a) Current CV;
- b) Annual workload assignments for the period under review;
- c) A cumulative activity report for the period under review;
- d) Feedback from the dean, director, or designee in response to the Annual Activity Reports for the period under review;
- e) Evidence of teaching, research and service effectiveness for the years under review, where applicable;
- f) Self-evaluation that summarizes the faculty member's scholarly contributions and accomplishments in other areas included in their workload agreements for the period under review. If the feedback to previous evaluations noted areas for improvement,

then the self- evaluation shall include a summary of progress made to address those areas;

- g) External review letters;
- h) Other materials as specified in the unit peer criteria;
- i) Other materials at the discretion of the faculty member;
- j) Unit criteria of the faculty member's unit.

For faculty members with joint appointments, the dean, director or designee of the school or college of the faculty member's primary academic appointment or locus of tenure will arrange a review that assures that the dean, director or designee of the unit of joint appointment of the faculty member provides a written evaluation of the faculty member. The dean, director or designee of the faculty member's primary academic unit will inform the faculty member of these arrangements.

#### 4. Evaluation of Tenure Track Faculty Members for Tenure

Untenured faculty members shall be evaluated for tenure in accordance with the terms and conditions of appointment and the procedures for evaluation provided by the extant bargaining agreement. The chancellor may award tenure to faculty members whom the chancellor judges to be qualified, when tenure would be consistent with the need, mission, and resources of the university and the unit in which the faculty member would be tenured. The chancellor's decision shall be based upon the recommendations of the appropriate academic unit peer review committee, the dean, director or designee, the university-wide peer review committee, and the provost.

The faculty member shall submit a file including the following documents:

- a) Current CV;
- b) Annual workload assignments for the period under review;
- c) A cumulative activity report for the period under review;
- d) Feedback from the dean, director, or designee in response to the Annual Activity Reports for the period under review;
- e) Evidence of teaching, research and service effectiveness for the years under review, where applicable;
- f) Self-evaluation that summarizes the faculty member's scholarly contributions and accomplishments in other areas included in their workload agreements for the period under review. If the feedback to previous evaluations noted areas for improvement, then the self- evaluation shall include a summary of progress made to address those areas;
- g) External review letters;
- h) Other materials as specified in academic unit peer criteria;
- i) Other materials at the discretion of the faculty member;

- j) Unit criteria of the faculty member's unit.

For faculty members with joint appointments, the dean, director or designee of the school or college of the faculty member's primary academic appointment or locus of tenure will arrange a review that assures that the dean, director or designee of the unit of joint appointment of the faculty member provides a written evaluation of the faculty member. The dean, director or designee of the faculty member's primary academic unit will inform the faculty member of these arrangements.

## 5. Post-Tenure Review

Tenured faculty members shall be evaluated comprehensively every six years in accordance with the procedures set forth by the extant collective bargaining agreement applicable to the faculty member.

The post-tenure review process is generally intended to be a formative rather than a summative process of faculty evaluation, focused on faculty development. The process should review and encourage ongoing development, scholarship, and productivity, including feedback concerning progress toward promotion where applicable. A scheduled review will occur six years from the date that the faculty member's most recent post-tenure review or successful promotion review was initiated. The faculty member shall submit a file including the following documents:

- a) Current CV;
- b) Annual workload assignments for the period under review;
- c) A cumulative activity report for the period under review;
- d) Feedback from the dean, director, or designee in response to the Annual Activity Reports for the period under review;
- e) Evidence of teaching, research and service effectiveness for the years under review, where applicable;
- f) Self-evaluation that summarizes the faculty member's scholarly contributions and accomplishments in other areas included in their workload agreements for the period under review. If the feedback to previous evaluations noted areas for improvement, then the self-evaluation shall include a summary of progress made to address those areas;
- g) Other materials as specified in academic unit peer criteria;
- h) Other materials at the discretion of the faculty member;
- i) Unit criteria of the faculty member's unit.

For faculty members with joint appointments, the dean, director or designee of the school or college of the faculty member's primary academic appointment or locus of



tenure will arrange a review that assures that the dean, director or designee of the unit of joint appointment of the faculty member provides a written evaluation of the faculty member. The dean, director or designee of the faculty member's primary academic unit will inform the faculty member of these arrangements.

## **C. Evaluation Process for Retention, Promotion, Tenure and Post-Tenure Review**

### **1. General Evaluation Criteria**

Evaluators may consider, but shall not be limited to, whichever of the following are appropriate to the faculty member's professional obligation, as specified in the workload agreements:

- 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.

In addition, departments or disciplines may elaborate in writing, with Faculty Senate approval, on these or other criteria which take into account the distinctive nature of the discipline or special university assignment. See Unit Criteria.

2. Notification. Before the end of the academic year, the Deans/Directors' offices will announce the deadline for submission of files for tenure, promotion, 4th year comprehensive and diagnostic review and post-tenure review for review during the next academic year, in accordance with the extant bargaining agreement.

The Provost's Office, in consultation with the dean of each college or school and/or the institute or campus director will compile a list of faculty members who are required to stand for tenure and/or promotion review during the next academic year and send written notification to each of these faculty members advising them that they must stand for review and should begin compiling their file. The dean, in consultation with the institute or campus director, will also distribute an announcement to all faculty requesting that the dean be notified if anyone wishes to stand for tenure evaluation prior to the mandatory year of review, or wishes to apply for promotion during the next academic year. This notification of intent should be submitted to the dean in accordance with the date and procedure outlined in the extant CBA. This will help assure that any problems in minimum eligibility are resolved before the review begins.

In accordance with the CBA, the provost shall prepare and distribute guidelines for preparation of a candidate's file, a schedule of review levels and deadlines, and the unit criteria, standards and indices as appropriate. Refer to the Provost's website for specific formatting details and mode of submission.

3. Composition of the file. It is the responsibility of tenured, tenure track and promotion-eligible non-tenure track faculty members to prepare a file of materials documenting how the criteria for relevant type of review has been met.

The file shall be comprised of:

- Promotion/Tenure Materials Checklist. This form not only lists the materials to be included; it also sets forth the sequence in which the materials are to be assembled in the file. Please note that the form, itself, is the first item in the file. The unit member should fill in the information requested at the top of the form and check off those items included at the time the file is submitted. The checklist resides on the Provost's website.
- Eligibility and Summary of Recommendations Form. Faculty members standing only for tenure or for promotion need to include only the eligibility form for that particular process. If applying for both awards concurrently however, both forms must be included in the file.
- Special Unit Criteria. If the discipline, department, institute, or college/school has formally prepared unit criteria, which have been officially accepted and approved by the UAF Faculty Senate, a copy should be included in the faculty file.
- Promotion/Tenure Cumulative Activities Report. Listed below are the general topics for which faculty are asked to provide information. To aid the evaluators in their review of the file, the form should be used to prepare the Activities Report. Unit members undergoing promotion review should include material that covers the period since initial hire (or since the last promotion review if seeking promotion to Full Professor). Unit members undergoing tenure review should include material from the past six (6) academic years, unless individuals have a different stated time interval or are going up early.

#### Example Organization and Content of Activities Report

1. Personal Information
2. Workload Summary
3. Teaching
  - a. Instructional Activities
  - b. Committee Chair

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- c. Student Advising - Graduate and/or Undergraduate
  - 4. Research, Creative and Other Scholarly Activities
    - a. Publications
    - b. Publications In Press
    - c. Professional Creative Activities
    - d. Sponsored research or projects
    - e. Other Scholarly Work
    - f. Conference Participation
  - 5. Public, University and Professional Service
    - a. Public service
    - b. University service
    - c. Professional service
  - 6. Professional Development
  - 7. Honors and Awards
- Self-Evaluation. It is the faculty member's responsibility to prepare and include a summary self-evaluation of contributions and achievements within each of the areas of responsibility required for the position. It provides an opportunity to describe the assignments and expectations placed upon the faculty member and their success in meeting them, from their own perspective. In this self-evaluation, it is appropriate to note any special assignment or responsibilities and identify the nature of the position as defined by their workloads. If the member's duties are strongly weighted in one area of responsibility, the reasons for this assignment can be explained here. It is also the appropriate place to note and adequately justify any exceptions to eligibility or procedural requirements reflected in the application. Note that the emphasis for this part of the application is "evaluation."
  - Evidence of Effectiveness. The following items should be included.
    - Previous Evaluations.
    - For unit members undergoing promotion review, include copies of past evaluations since the date of initial hire or the last promotion, as applicable.
    - For unit members undergoing tenure review, include copies of past annual evaluations since initial hire.
    - Evidence of teaching effectiveness, which may include: Student evaluation summaries, peer evaluation of teaching including teaching materials, pedagogical organization as evidenced through peer evaluation of course syllabi, documented use of best practices in teaching, evidence of pedagogical training, and/or evidence that their students meet course learning outcomes.
    - Examples/Evidence of research, scholarly, or creative activities.

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- External comments about service activities.
  - External Reviews, Honors, and Citations.
- Curriculum Vitae and Letters of Support
    - It is strongly recommended that the faculty member write a tenure/promotion-specific version of the vita. Consistent with the nature of the position, activities in the appropriate areas of teaching, research, and service need to be spelled out in greater detail than one's resume might normally contain. The well-developed vita will cover each of the criteria relevant to the position.
    - Letters of support, whether internal or external, should be placed in this section. Group them so that letters which support the same element are together.
  - Levels of Review. Please refer to the Checklist. Items 8 through 12, along with "Unit Member's Comments" from each level of review will be placed in the file by the Provost's Office.
4. Access to the candidate's file. Access to the candidate's file will be limited to the candidate and, during the official review periods established by the provost, the appropriate personnel at each review level (unit peer committee, dean and/or director or designee, university-wide promotion and tenure committees, provost, chancellor, and staff as designated at the level of review). No written or electronic copies may be distributed to anyone who is not tasked with reviewing the files.

Candidates may not add supporting documents, such as letters of acceptance of a manuscript or grant proposal awarded to their original file. Once the file has been submitted for review, candidates may only add supporting documents to the file as attachments to the candidate response at each stage of the review. These documents may include letters of acceptance of a manuscript or grant proposal awarded.

5. Review Process.

- a. Definition of the unit. For purposes of faculty evaluation, promotion, tenure, 4th year comprehensive and diagnostic review, and post-tenure reviews, a unit is defined either as an academic discipline or a department/cluster/group/unit as determined by the college/school dean or institute/campus director as appropriate, with the consent of the faculty members of that department/cluster/group/unit.

- b. Unit peer review. The tenured faculty in a unit will constitute the unit peer review committee for faculty in that unit participating in promotion, tenure, 4th year comprehensive and diagnostic review, and post-tenure review. The unit peer review committee must include all tenured faculty members from the discipline in which the candidate is being evaluated, unless said members are on leave of absence or sabbatical.

The unit peer review committees shall be composed of at least five (5) tenured faculty at the same or higher rank as the unit member being reviewed, with at least three (3) at the rank of full professor. In the case in which there are not the requisite number of senior tenured faculty, the Dean, Director, or designee will appoint a faculty member at the appropriate rank from another unit, with the consent of the members of the discipline, department, cluster, or academic unit. Absent such consent, the Provost shall resolve issues around the composition of the peer committee.

Unit peer review committees shall develop operational procedures that will be made available to all unit peer members and (re)approved at the first meeting of each annual (if held) unit peer review committee. Each unit peer review committee shall develop written operating procedures in advance of any review of files. A copy of these procedures shall be submitted to the candidate and the provost prior to review of any files. Each unit peer review committee must elect a chair at least annually.

Non-tenure track faculty shall have on their peer review committee at least 5 non-tenure track faculty who hold the ranks of either Associate Professor or Professor within the candidate's unit will normally constitute the peer review committee for non-tenure track faculty applying for promotion. At least 3 of the committee must be at the rank of Professor. In the case in which there are not the requisite number of senior non-tenure track faculty, the provost may augment a peer review committee by adding tenured faculty to achieve the minimum number required if procedures to add additional senior faculty members are not outlined in the standing unit peer committee operating procedures. Norms for development of unit criteria, process, and composition of the unit peer committee shall follow the same rules as those for tenure-track faculty, described below in section 5c.

The unit peer review committee discussions shall be open unless a candidate requests that the meeting be closed. The peer review procedures must not override the candidate's choice of open or closed discussions and the peer review letter discussion must only reflect the aforementioned information. The vote of the unit peer review committee, however, shall be closed to the public and the candidate. The unit peer review committee vote and written substantive rationale that includes the majority recommendation and minority opinion, without individual attribution,

shall be provided to the dean, director or designee. A copy of the written statement shall be provided to the faculty member being reviewed.

A faculty member serving on a university-wide peer committee and the unit peer review committee may participate in the review of a unit peer faculty member's file at both levels of review, but shall vote at only one level.

When evaluating candidates for promotion and/or tenure, unit peer committees shall use the ratings of unsatisfactory, satisfactory, good, very good, and excellent. When evaluating candidates for 4th year comprehensive and diagnostic review, unit peer committees may use the same ratings to evaluate the candidate's performance in each of the areas of the candidate's responsibility, but the unit peer committee shall also provide an overall rating of either "satisfactory progress toward tenure," or "unsatisfactory progress toward tenure." When evaluating candidates for comprehensive post-tenure review, the same ratings shall apply with the exception of the overall ratings being either "satisfactory post-tenure performance" or "unsatisfactory post-tenure performance."

- c. Levels of review. The candidate for promotion, tenure, 4th year comprehensive and diagnostic review, and post-tenure review shall prepare and submit a file according to the schedule published by the provost. All members of the unit peer committee shall review all files for promotion, tenure, 4th year comprehensive and diagnostic review and post tenure review from that unit. The review process for non tenure-track faculty shall be essentially the same as and concurrent with the procedures outlined for tenure-track faculty. The completed file will be reviewed by the unit peer review committee (see procedures in section 5b). The candidate's file and written recommendations will be forwarded to the cognizant directors or deans. The cognizant directors or deans will forward the candidate's file, along with written recommendations, to the university-wide promotion and tenure committee. The university-wide promotion and tenure committee will review all files concurrently with promotion applications for non tenure track-faculty. As with all candidate files, the university- wide promotion and tenure committee shall review the non-tenure track faculty member's file in accordance with their negotiated workload. All areas that are part of a candidate's workload (teaching, research, and/or service) should be evaluated.

The levels of review for promotion, tenure, 4<sup>th</sup> year comprehensive and diagnostic review\* and comprehensive post-tenure review\* are in this order.

- unit peer review committee;
- dean, in coordination with the director in the case of joint appointments;

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- university-wide review committee;
- provost; and
- chancellor who will make the final decision.

**Note\*:** 4th year comprehensive and diagnostic review files and comprehensive post tenure review files proceed to the level of the chancellor only at the request of the candidate.

Dean/Director Level - The dean of the school/college, or the director if the candidate is in an institute only, in consultation with the joint-appointment dean/director when appropriate, shall evaluate the file and prepare a written recommendation or a written summary of the combined dean/director recommendation for or against tenure and/or promotion of the candidate. In the case of 4th year comprehensive and diagnostic review files the dean, and director, where appropriate, shall determine if the candidate is making satisfactory progress toward promotion and tenure and shall provide a written summary, including recommendations if the progress is not satisfactory. In the case of post-tenure review the dean and/or director, where appropriate, shall review the file and provide written comments evaluating evidence of sustained performance according to the relevant criteria for rank. The dean will forward the file to the Office of the Provost. The Office of the Provost collects and maintains all candidate files and provides the university-wide promotion and tenure review committees access to the files for their review and recommendation.

University-wide Committee Level - The university-wide promotion and tenure review committee shall provide a recommendation, along with the record of the committee's vote and a substantive rationale that includes the majority recommendation and minority opinion (if applicable), to the provost.

Provost Level - The provost shall review and evaluate all files and make a recommendation to the chancellor.

Chancellor Level - The chancellor shall evaluate the files and make a decision to promote or not; and notify the candidate of the decision. The chancellor may promote qualified faculty members for whom promotion would be consistent with institutional need, mission, and resources. If the decision of the chancellor is to deny promotion, the faculty member shall retain current academic rank. Tenure, once granted, shall not be affected by a change in bipartite or tripartite workload responsibility.

Candidate Review - The candidate shall have an opportunity to review the recommendations made at each level and may submit comments regarding recommendations. Additional materials may be added to the file by the candidate only as an attachment to the candidate's response.

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d. Constitution and operation of the university-wide peer review committees

All University-wide review committees should strive to have members that reflect the diversity of our faculty community.

(1) Tenure and promotion review committee composition

For the purpose of evaluation for tenure and/or promotion of faculty members, the Faculty Senate will present a list of the names of seven (7) tenured and at least (3) non-tenure track faculty unit members holding the rank of associate professor or professor to the provost who will select the committee. Each unit peer review committee may nominate one of its members to serve. The list will be determined from those nominees by vote of all faculty who serve on unit peer review committees. Faculty shall remain on the list for a term of two years with the terms being staggered. No specific unit peer review committee can have more than one representative on the tenure and promotion review committee. A faculty member shall not serve as a member of the university-wide promotion and tenure committee in the year in which they are a candidate for promotion.

At least one, but not limited to one, member of the university wide committee will be a non-tenure track faculty member with a rank of associate professor or higher.

(2) 4th year review committee composition

For the purpose of 4<sup>th</sup> year comprehensive and diagnostic review of faculty members, the Faculty Senate will present a list of names of seven (7) tenured faculty members to the provost who will select the committee. Each unit peer review committee may nominate one of its members to serve. The list will be determined from those nominees by vote of all faculty who serve on unit peer review committees. Faculty shall remain on the list for a term of two years with the terms being staggered. No specific unit peer review committee can have more than one representative on the 4<sup>th</sup> year review committee.

(3) Post-tenure review committee composition

For the purpose of post-tenure review of faculty members, the Faculty Senate will present a list of names of seven (7) tenured faculty members to the provost who will select the committee. Each unit peer review committee may nominate one of its members to serve. The list will be determined from those nominees by vote of all faculty who serve on unit peer review committees. Faculty shall remain on the list for a term of two years with the terms being staggered. No specific unit peer review committee can have more than one representative on the post-tenure review committee. No more than one

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faculty member on the list can be a member of any specific peer review committee. A faculty member shall not serve as a member of the university-wide committee reviewing post-tenure files in the year in which they are undergoing post-tenure review. During the years when the number of post tenure reviews needed are small, the provost may decide to conduct the post tenure reviews by the university-wide promotion and tenure review committee.

(4) Operating procedures for all university-wide peer reviews

The committee shall elect a chair from its membership. The committee shall establish operating rules and procedures in advance of review of any files and submit these to the Office of the Provost.

The chair of the unit peer review committee or their designee will present the file to the university-wide committee and shall participate in the discussion of the candidate's application.

A faculty member serving on a university-wide peer committee and the unit peer review committee may participate in the review of a unit peer faculty member's file at both levels of review, but they shall vote at only one level.

The university-wide peer review discussions shall be open unless a candidate requests the meeting be closed. The operating rules and procedures must not override the candidate's choice of open or closed discussions and the peer review letter discussion must only reflect the aforementioned information. The vote of the committees shall be closed to the public and the candidate. The vote of the committees and written substantive rationale that includes the majority recommendation and minority opinion, without individual attribution, shall be provided to the provost and the candidate.

6. Evaluation for Tenure.

Section 6 does not apply to non-tenure track faculty.

Tenure assures the academic community an environment that will nurture academic freedom by providing employment security. An appointment with tenure shall be an appointment to academic rank which shall not be affected by changes in such rank and shall be continued until resignation, retirement, or termination. The award of tenure normally guarantees continuing appointment for at least nine months per year, with allowance for exceptional cases as identified in Chapter I, 13 above. Any change in fraction of full-time appointment as a tenured faculty member must be by mutual consent of the

university and the faculty member. The award of tenure does not exempt a faculty member from changes in policies and procedures approved for the university system or UAF in particular.

- a. Locus of tenure. Faculty are tenured within a single academic unit of a university of the University of Alaska system. Faculty are tenured within a college-based or school-based discipline of the University of Alaska Fairbanks, (e.g. anthropology, biology and wildlife, business administration, music, etc.). Faculty members may transfer with tenure to another academic unit in the university or another university within the University of Alaska system only upon the mutual agreement of the faculty member, the chancellor, and the faculty of the receiving academic unit. For purposes of this document, “discipline” shall be defined as the traditional academic field and recent teaching and research record as demonstrated in workload agreements, annual activity reports, and evaluations.
- b. Initial Appointment with Tenure. New faculty who are qualified for the rank of associate professor or professor and who meet the tenure standard may be appointed with the simultaneous award of tenure. However, the decision to award tenure upon initial appointment shall require the same process of review as required for award of tenure at other times.
- c. Year of mandatory tenure review. A tenure-track faculty member must be reviewed for tenure in accordance with the following:
  - (1) After initial appointment to the rank of professor, the faculty member must be reviewed for tenure no later than the third consecutive year of service. Appointment to the rank of professor may continue beyond the fourth year only with tenure. Exception to the mandated time period for tenure review must be considered for time lost due to medical reasons and parental leave, in which case the mandated time period should be extended at the request of the faculty.
  - (2) After initial appointment to the rank of associate professor, the faculty member must be reviewed for tenure no later than the fourth consecutive year of service. Appointment to the rank of associate professor may continue beyond the fifth year only with tenure. Exception to the mandated time period for tenure review must be considered for time lost due to medical reasons and parental leave, in which case the mandated time period should be extended at the request of the faculty.
  - (3) Non-tenured tenure-track faculty undergoing review for promotion to the rank of associate professor shall also be reviewed concurrently for tenure. For tenure-track faculty, promotion to the rank of associate professor cannot

be made without simultaneous award of tenure. Tenure shall not be granted at the assistant professor rank.

(4) All tenure track-faculty whose initial appointment was at the rank of assistant professor must be reviewed for tenure and concurrent promotion to the rank of associate professor no later than the seventh consecutive year of service in this rank. Service in this rank may not continue beyond the eighth year. Exception to the mandated time period for tenure review must be considered for time lost due to medical reasons and parental leave, in which case the mandated time period should be extended at the request of the faculty.

- d. Linkage of promotion/tenure for tenure-track faculty. An award of tenure is concurrent with promotion to associate professor. All tenure-track faculty at the rank of assistant professor applying for promotion to the associate professor level shall apply for tenure at the same time.
- e. Review for tenure prior to the mandatory year. A faculty member may choose to stand for tenure during any year prior to the mandatory year of review. However, in this case, the faculty member must initiate the request and notify the dean of their intention to stand before the end of the academic year preceding the year of review.
- f. Withdrawal of candidacy. A faculty member may withdraw the file from consideration at any step in the process prior to review by the chancellor, except in the cases where the tenure review is mandatory or the faculty member otherwise would have been required to undergo a 4th year comprehensive and diagnostic review. Withdrawal of candidacy during a mandatory review will result in the faculty member being issued a terminal contract for the following academic year.

A faculty member standing for tenure prior to the mandatory year of review may proceed through all steps in the process and may withdraw at any step in the process prior to review by the chancellor. If the file continues to the chancellor and if the decision of the chancellor is to deny tenure, the faculty member may continue to serve as a tenure track faculty member but may not stand again for tenure prior to the mandatory year of review. The decision of the chancellor in this instance is final.

- g. Years of service.  
A “year of service” for purposes of determining the time of mandatory tenure review shall be defined as service in a tenure track position for at least a full academic year.

Partial year of service - A partial year of service which includes at least one semester of faculty service (e.g., as in a mid-year appointment) may be credited as a full year of service for the purposes of eligibility for consideration for promotion and tenure. Such credit must be approved and so specified in the initial letter of appointment. If used as a full year for promotion and/or tenure, it may also be used for sabbatical leave eligibility. The university administration will notify those eligible faculty members of this option at the time of initial appointment.

Leave of Absence - All consecutive years of service, including periods of leave of absence at full salary and sabbatical leave, shall be counted in the determination of the time of mandatory tenure review. Periods of medical leave at full salary shall be included unless exception is requested in writing by the faculty member and approved by the dean/director and the Provost at the time the leave is granted by Human Resources. Periods of leave of absence at partial or no salary and partial years of service shall also be included unless exception is requested by the faculty member and approved at the time the leave is granted by the chancellor or chancellor's designee. Periods of parental leave shall be excluded unless an exception is requested by the unit member. No more than two (2) academic years or two (2) alternative nine (9) month periods may be excepted from counting toward the mandatory year of tenure review.

Regardless of inclusion in the computation of total years, leave of absence shall not be deemed an interruption of otherwise consecutive service. Years of service preceding a break in consecutive years of university employment may be counted only upon agreement between the unit member and the chancellor or chancellor's designee at the time of re-employment, and must be so specified in the re-employment's initial letter of appointment.

- h. Tenure decision. Following the recommendations of the faculty and the procedures outlined above the chancellor may award tenure and will notify the faculty member of the decision.
- i. Failure to receive tenure. A tenure-track faculty member must stand for tenure no later than the mandatory review year as defined above. If tenure is not awarded or the faculty member withdraws from candidacy in the mandatory year of review, the faculty member shall be offered a terminal appointment for one additional year, or alternative nine month period, of service.
- j. Exclusive process for reconsideration. A faculty member who is denied tenure and/or promotion may request reconsideration in accordance with the

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dispute resolution process identified in the extant collective bargaining agreement applicable to the faculty member. A faculty member must stand for tenure no later than the mandatory review year as defined above.

- k. Rejection of tenure. A faculty member who is offered tenure by the university pursuant to this policy but who declines to accept it may continue to be employed in a manner to be determined by the chancellor.

## 7. Evaluation for Promotion

A record of continuing effective performance shall be expected. Procedures, performance criteria and requirements are set forth herein, and in policies of the Board of Regents and the regulations of the university system currently in effect and as they may change. Performance shall be evaluated on the basis of the criteria identified in this document and in unit criteria with particular attention to achievements since the latest promotion, and in consideration of the level of obligation in the appropriate areas of faculty responsibility. All faculty members with academic rank shall be expected to demonstrate performance in the areas of responsibility outlined in their workloads, which may include different proportions of a total of thirty (30) workload units per academic year in teaching, research/scholarly/creative activity, and service for promotion to:

**Assistant Professor.** The faculty member shall demonstrate that they have satisfied the minimum qualification as well as the minimum experience as appropriate to the discipline and described in unit criteria for initial appointment.

**Associate Professor.** The faculty member shall present a record of sustained performance and achievement in their assigned workload areas of activity, which reflects high quality in teaching, research/scholarly/creative activity, and service, as appropriate. The level of productivity in each criterion area shall be evaluated within the context of the faculty member's proportionate responsibility as identified in annual workload distribution agreements. Non-tenure track faculty may be assigned activity in two or three of the workload areas (teaching, research/scholarly/creative activity, and service). Every faculty member should be evaluated based on their workload assignment.

The total contribution of the faculty member shall be assessed and considered along with evidence in support of substantial potential for continued contributions of excellence. A promotion/tenure peer review committee (unit or university-wide) shall recommend promotion to the rank of associate professor and the award of tenure only if a majority of the committee rates the faculty member's assigned workload areas of activity as "good," "very good," or "excellent" (ratings, in order

of improved performance, being “unsatisfactory,” “satisfactory,” “good,” “very good,” and “excellent”).

Professor. Those faculty awarded the rank of professor at the university shall exemplify the attainment of performance and achievement consistent with a high standard of excellence.

The faculty member shall present a record of continuing sustained excellence. It should demonstrate that the candidate is recognized for contributions to knowledge in the discipline; is recognized by peers and students as an effective teacher; and contributes to the overall effort and reputation of the university through appropriate extension of knowledge and discipline-related service, within the context of the faculty member’s proportionate responsibility as identified in annual workload distribution agreements. A promotion/tenure peer review committee (unit or university-wide) shall recommend promotion to the rank of professor only if a majority of the committee rates the faculty member’s assigned workload areas of activity as “very good” or “excellent” (ratings, in order of improved performance, being “unsatisfactory,” “satisfactory,” “good,” “very good,” and “excellent”). Non-tenure track faculty may be assigned activity in two or three of the workload areas (teaching, research/scholarly/creative activity, and service). Every faculty member should be evaluated based on their workload assignments.

#### 8. Evaluation Process for Administrative Non-Represented Faculty

Non-represented administrative faculty members must present a record of work in two or more of the workload areas (teaching, research, and service) which demonstrates performance of continuing high quality.

- a. Eligibility. Non-represented administrative faculty must retain at least 49% faculty workload to be eligible for promotion. Non-represented administrative faculty are not eligible to stand for promotion if the administrative assignment equals more than 51% of the faculty member’s workload.
- b. Criteria for evaluation. Only the faculty portion of the workload shall be evaluated; the administrative assignment shall not be considered in the evaluation. The general criteria for evaluation of performance are those set forth below as well as any applicable unit criteria.
- c. Notification. Non-represented administrative faculty shall follow the schedule as announced by the provost that is associated with their previous peer unit. Each eligible faculty member intending to stand for promotion shall inform the appropriate dean or director in writing by the last day of the academic year immediately preceding the fall semester in which the applicant’s file is submitted of the intention to request promotion. It shall be the responsibility of the faculty

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member to prepare a file of materials according to the guidelines for preparation of files as put forth by the provost documenting how they have met the criteria for promotion to the requested rank.

- d. Process See 5 above.
- e. Workload. A non-represented administrative faculty member who maintains a workload of at least 49% faculty duties should evaluate their performance record to determine if the minimum expectations set forth in this document have been met.
- f. Levels of review. The levels of review for non-represented administrative faculty will be the same as those associated with the faculty member's previous peer unit. Non-represented administrative faculty members shall annually submit an Annual Activity Report and a current CV to their dean/director or campus director or their appropriate supervisor. All levels of review will be given instructions on how to review the file. Only work that results from faculty duties is to be evaluated, and that work is to be evaluated relative to the portion of appointment/workload dedicated to faculty duties. This portion of appointment must not be less than 49%. Faculty at 49% appointment will be evaluated relative to half-time faculty.
  - (1) Peer review. The unit peer committee process for non-represented administrative faculty shall be the same as that described for regular academic rank faculty, except as otherwise noted herein. The peer review committee for non-represented administrative faculty standing for promotion will be appointed by a dean or director from a unit other than that of the candidate. This dean or director will be selected by the provost. At least one committee member must be from the candidate's unit; if conflicts of interest cannot be avoided in this appointment, then the appointed member will not vote and will participate only in an advisory capacity. The peer committee will not include individuals who are supervised by the candidate, except as described above. Members of the unit peer committee must not have any other type of conflict of interest. To the extent possible, the peer committee should represent the candidate's discipline and faculty work.
  - (2) University-wide committee review. The university-wide committee process for non-represented administrative faculty shall be the same as that described for regular academic rank faculty, except as otherwise noted herein. The university-wide committee convened to review promotion of represented faculty candidates will also review non-represented administrative faculty candidates. The Faculty Senate and the provost will take this into account when selecting members for the university-wide committee.

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g. Exclusive process for reconsideration. See 6i above.

h. Termination of Administrative Appointment

Administrative appointments are given at the sole discretion of the University and are governed by the terms set out in the appointment letter.

9. Evaluation Process for Emeritus/Emerita Status

a. Eligibility. A full-time faculty member who has already attained the rank of full professor and who has retired after a minimum of ten years at the University of Alaska may be honored through appointment as professor emeritus/a within a year of retirement.

In exceptional circumstances, the chancellor may confer emeritus/a status on other meritorious faculty members who have provided a minimum of ten years of faithful service of high quality to the institution. Recommendations will proceed along the appropriate administrative channels to the chancellor.

b. Criteria for evaluation. Nominations are to be evaluated on the basis of the criteria for promotion to the rank of full professor with the added caveat that the position of professor emeritus/a is the highest honor that is bestowed upon a retiring faculty member.

c. Notification. The provost shall announce the deadline for submitting nominations for emeritus/a status and the schedule for the nomination review process.

d. Process. Nominations for conferring emeritus/a status may originate with the appropriate dean in consultation with the faculty, with the unit peer faculty or upon the request of the retiring faculty member. The nomination shall be reviewed and approved by the appropriate unit peer review committee and the dean/director or designee of the unit. Recommendations are forwarded to the campus-wide promotion and tenure committee. The committee's recommendations will be made to the provost, who will then forward the recommendation to the chancellor.

e. Decision. Following the recommendations of the faculty, the dean/director or designee, and the provost, the chancellor may award emeritus/a status to eligible faculty. The chancellor's decision is final and non-reviewable.

**D. Criteria for Instruction**

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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, and curriculum development.

1. Effectiveness in Teaching

Evidence of effectiveness 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 supportive of 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, instructional design, and materials;
- g. regularly expend effort towards future oriented educational development;
- h. 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, academic advising, training/guiding graduate students, etc., provided by:

- a. evidence in the narrative self-evaluation, which may include their underlying philosophy of teaching as it relates to effectiveness in teaching;

and at least two of the following that are supported with evidence that is not solely in the narrative self-evaluation:

- o student evaluation summaries,

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- peer classroom observation(s) and evaluation of lecture(s),
- peer evaluation of course and compiled materials,
- pedagogical organization as evidenced through peer evaluation of course syllabi,
- documented use of best practices in teaching through external or peer review,
- evidence of meeting course-level student learning outcomes, which may include student pre/post tests,
- evidence of pedagogical training with peer or external reviewed and documented outcomes as implemented in the classroom

Individual units may choose to require particular items from this list through their unit criteria.

### **E. 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 faculty 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, research data and metadata, 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 or projects and programs, these grants and contracts being subject to rigorous peer review and approval.
- c. Presentation of research papers before learned societies that accept papers only after rigorous review and approval by peers.
- d. Exhibitions of art work at galleries, selection for these exhibitions being based on rigorous review and approval by juries, recognized artists, or critics.
- e. Performances in recitals or productions, selection for these performances being based on stringent auditions and approval by appropriate judges.
- f. Scholarly reviews of publications, art works and performance of the candidate.
- g. Citations of research in scholarly publications.
- h. Published abstracts of research papers.
- i. Reprints or quotations of publications, reproductions of art works, and descriptions of interpretations in the performing arts, these materials appearing in reputable works of the discipline.
- j. Prizes and awards for excellence of scholarship.
- k. Awards of special fellowships for research, scholarly or creative 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. Inventions, disclosures with substantial documentation, patent applications and awards, and transfer of developed intellectual property (patents, copyrights, and trade secrets) to a commercial entity.
- n. The provision of expertise, service, performance and/or exhibition, to or with rural and/or Native communities; where such expertise/service/performance/exhibition is documented in books, programs, reviews, monographs, bulletins, articles, proceedings, reports, manuals, needs assessments, program evaluations, strategic plans, proposals, legal research memoranda and tribal judicial opinions, annotated bibliographies, translations, transcriptions, audio recordings, video recordings, websites, data collections, and in professional, industry, or government publications; after review and evaluation by appropriate peers from the entities and/or communities served.

Individual units may choose to require particular items from this list through their unit criteria.

#### **F. Criteria for Public, University and Professional Service**

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

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itself provides that its faculty assumes a collegial obligation for the internal functioning of the institution; such service is identified as “university service.”

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

### 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.
- l. Active engagement in public communication of discipline-based knowledge, defined as using the research methods, theories, and analytical frameworks of the discipline to make discipline-based research and analysis accessible and useful to the lay public. Public service in this area includes, but is not limited

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to: blogs, documentary films, short films, op-eds published in local, regional, and/or national newspapers and online news sites; radio broadcasts; podcasts; and a strategic and sustained discipline-based presence on social media.

## 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, elected office, representative assembly membership and labor management committees.
- 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.
- k. Invoicing, transferring and securing of funds for the University for contract work (lab fees, consultant work) and intellectual property fees and commercialization fees.

## 3. Professional Service

Professional service includes activities related to promoting a faculty member's profession or specialization, including service to professional associations and organizations. Examples of such activity include, but are not limited to:

- 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.

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### **G. Unit Criteria**

Unit criteria are recognized values used by a faculty within a specific discipline to elucidate, but not replace, the general faculty criteria established in D, E, F, above for evaluation of faculty performance on an ongoing basis and for promotion, tenure, 4th year comprehensive and diagnostic review, and post-tenure review. Discipline based unit criteria should be fully aligned with the university-wide evaluation criteria in order to reflect the specific nature of individual disciplines.

Unit criteria may be developed by those units wishing to do so, utilizing the uniform template on the provost's web site. Units that choose not to develop discipline-specific unit criteria must file a statement stating so with the Office of the Provost, which shall serve as the official repository for approved unit criteria.

A unit choosing to develop discipline-specific criteria shall have such criteria approved by a majority of the discipline faculty. The unit criteria will be forwarded to the Faculty Senate Unit Criteria Committee by the cognizant dean. The Unit Criteria committee will review these criteria and request revisions from the department as appropriate. After Unit Criteria has completed its review of the criteria, they will be forwarded to the Faculty Senate for full review and approval. A copy of the unit's criteria as approved by the Faculty Senate will be submitted to the provost.

Unit criteria 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 will request the unit faculty to review the unit criteria and revise it, if warranted. Unit criteria approved by the Faculty Senate prior to a unit's reorganization shall remain in effect until reviewed and revised. Revision of unit criteria must follow the review process established by the Faculty Senate. If the unit criteria are not revised, a statement of reaffirmation of the current unit criteria must be filed with the Office of the Provost, following the review.

Unit criteria 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, and post-tenure review to include these approved unit criteria and all their workloads in the application file.

## Chapter IV: Termination of Faculty Appointment

Termination is the severance of the employment relationship between a faculty member and the university. Faculty may be terminated under any of the following conditions:

### A. Non-Retention of Tenure Track Faculty

Non-retention follows a decision not to continue the employment of a tenure track faculty member.

1. Prior to standing for tenure review, and at the conclusion of the annual review process set forth in Chapter III above, the dean, director or designee may elect to non-retain or non-renew the appointment of a regular, academic rank faculty member.
2. Exclusive Process for Reconsideration  
A faculty member who is not retained may request reconsideration according to the dispute resolution process identified in the extant collective bargaining agreement.
3. The chancellor or the chancellor's designee shall provide written notification of non-retention to the faculty member, according to the following schedule of notification. The schedule of notification shall be based upon consecutive years of uninterrupted service as a tenure track faculty member within the university.
  - a. Within the first year, regardless of contract extensions, the faculty member shall be notified no later than February 15 for appointments based on the academic year, or three (3) months prior to the end of the base appointment for appointments based on an alternative nine (9) month period.
  - b. Within the second year, regardless of contract extensions, the faculty member shall be notified no later than November 15, for appointments based on the academic year, or six (6) months prior to the end of the base appointment for appointments based on an alternative (9) month period.
  - c. After two (2) or more years, the faculty member shall be notified not less than twelve (12) months prior to the expiration of the final appointment.

### B. Non-Renewal of Non-Tenure Track Faculty

1. Non-renewal follows a decision not to continue the employment of a non-tenure track faculty member.
2. Exclusive Process for Reconsideration  
In as much as non-tenure track appointments are subject to available funds, a faculty member may appeal a decision which results in non-renewal of services only as allowed by the extant collective bargaining agreement.

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3. Written notification of non-renewal shall be provided to the faculty member by the hiring authority. Failure to provide notice as provided below shall not result in renewal of appointment. The following schedule of notification shall be based upon consecutive years of uninterrupted service as a non-tenure track faculty member within the university.
  - a. Within the first two (2) years, regardless of contract extensions, the faculty member shall be notified no later than seven days prior to the expiration of the appointment.
  - b. From the third (3rd) through the sixth (6th) years, regardless of contract extensions, the faculty member shall be notified not less than 45 days prior to the expiration of the appointment.
  - c. After seven (7) years, the faculty member shall be notified not less than 90 days prior to the expiration of the appointment.

**C. End of Special Academic Rank Appointment**

Special academic rank faculty appointments shall end on the date specified in the letter of appointment and no additional notification is required. Instructors appointed to two- or three-year term appointments shall receive notice at least one semester in advance of the end of the appointment period of the university's intention not to renew the appointment. If a term appointment is to be terminated before the date specified in the letter of appointment, the faculty member shall be notified according to the schedule of notification above.

**D. Failure to Receive Tenure**

Following a decision to not award tenure in the mandatory year for tenure review, the faculty member will receive written notice no less than twelve months prior to the end of the academic year of final appointment.

**E. Termination of Employment of Faculty**

1. Termination

Any program change that could result in the loss of a position held by a tenured faculty member must be approved by the Faculty Senate in accordance with the program review procedures identified in UA Regulation 10.06.01 and UAF procedures. Employment of faculty may be terminated for the following reasons:

- a. Discontinuance of program. When a decision is made to discontinue a program (following program review as specified in UA Regulation 10.06.01), a good faith effort shall be made to place tenured faculty in another program at the university where appropriate.



The chancellor or the chancellor's designee shall notify tenure track or tenured faculty members of the decision to terminate employment in writing on the following schedule based upon consecutive years of uninterrupted service within the university.

- Within the first (1st) year, regardless of contract extensions, the faculty member shall be notified no later than February 15, for appointments based on the academic year, or three (3) months prior to the end of an appointment, for appointments based on an alternative nine (9) month base.
- Within the second (2nd) year, regardless of contract extensions, the faculty member shall be notified no later than November 15, for appointments based on the academic year, or six (6) months prior to the end of the base appointment for appointments based on an alternative nine (9) month period.
- After two (2) or more years of uninterrupted service, the faculty member shall be notified twelve (12) months prior to the expiration of the final appointment.

For non-tenure track faculty members associated with a program, the chancellor or chancellor's designee shall notify of the decision to terminate employment in writing on the following schedule based upon consecutive years of uninterrupted service within the university.

- Within the first two (2) years, regardless of contract extensions, the faculty member shall be notified no later than seven (7) days prior to the expiration of the appointment.
- From the third (3rd) through the sixth (6th) years, regardless of contract extensions, the faculty member shall be notified not less than forty-five (45) days prior to the expiration of the appointment.
- After seven (7) years, the faculty member shall be notified not less than ninety (90) days prior to the expiration of the appointment.

Failure to provide notice as provided above shall not result in renewal of appointment.

If the discontinued program is reactivated within two years, previously tenured and qualified faculty shall be invited to return prior to hiring new full-time faculty. Faculty invited to return to previously discontinued programs shall be provided at least 30 days from the mailing of the invitation to notify the University of the decision to decline or accept. If no response is received within thirty days, the invitation shall be assumed to have been declined. Faculty who wish to receive such invitations shall be responsible for maintaining a current mailing address with the university.

- b. Reduction in program. When a decision is made to reduce a program (following program review as specified in UA Regulation 10.06.01) a good faith effort shall be made to retain tenured faculty qualified in the discipline in preference to non-tenured faculty; to place tenured faculty in another program at the university where appropriate; or to compose a workload for qualified faculty members from activities assigned to part-time faculty in the program.

Opportunities for continued employment in a reduced program, or transfer to another program, shall be offered to unit members qualified in the discipline in the following order: tenured faculty; non-tenured tenure-track faculty; non-tenure track faculty with full-time appointments; non-tenure track faculty with less than full-time appointments; overload or other additional assignments, only to the extent of the additional assignment.

Faculty members not provided opportunities for continued employment according to the terms of this section and the extant collective bargaining agreement applicable to the faculty member shall be terminated. The chancellor or the chancellor's designee shall notify tenure track or tenured faculty members of the decision to terminate employment in writing on the following schedule based upon consecutive years of uninterrupted service within the university.

- Within the first (1st) year, regardless of contract extensions, the faculty member shall be notified no later than February 15 for appointments based on the academic year, or three (3) months prior to the end of the base appointment for appointments based on an alternative nine (9) month period.
- Within the second (2nd) year, regardless of contract extensions, the faculty member shall be notified no later than November 15, for appointments based on the academic year, or six (6) months prior to the end of the base appointment for appointments based on an alternative nine (9) month period.
- After two (2) or more years of uninterrupted service, the faculty member shall be notified twelve (12) months prior to the expiration of the final appointment.

The chancellor or the chancellor's designee shall notify non-tenure track faculty members of the decision to terminate employment in writing on the following schedule based upon consecutive years of uninterrupted service within the university.

- Within the first two (2) years, regardless of contract extensions, the faculty member shall be notified no later than seven (7) days prior to the expiration of the appointment.
- From the third (3rd) through sixth (6th) years, regardless of contract extensions, the faculty member shall be notified not less than forty-five (45) days prior to the expiration of the appointment.

- After seven (7) years, the faculty member shall be notified not less than ninety (90) days prior to the expiration of the appointment.

Failure to provide notice as provided above for non-tenure track faculty shall not result in renewal of appointment.

In the event a program is expanded within two years after reduction, previously tenured faculty members shall be invited to return to the program, in the order provided in this section above, prior to hiring new full-time faculty. The faculty member must notify the University of the decision to decline or accept within thirty (30) days of receipt of this invitation. Faculty who wish to receive such invitations shall be responsible for maintaining a current mailing address with the university.

- c. Financial exigency. Following a declaration of financial exigency (as described in BOR Policy 04.09.06 and related university system regulations), faculty members are entitled to a minimum of sixty calendar days' notice in advance of the cessation of their employment.
- d. Just cause. Any faculty member may be dismissed for just cause. Just cause shall include, but not be limited to: incompetence, neglect of duty, failure to perform assignment, unprofessional conduct, or other conduct or condition that interferes substantially with the continued performance of duties. Faculty members may be suspended immediately while proceedings are in progress for dismissal for just cause if their continued presence poses the threat of harm to themselves, others, or to the interests of the university, as determined by the university. Just cause terminations shall be conducted in accordance with the dispute resolution and disciplinary action processes identified in the extant collective bargaining agreement.

#### **F. Exclusive Process for Reconsideration for Termination of Tenured Faculty**

Tenured faculty who receive a written notification of termination may request reconsideration according to the dispute resolution process identified in the extant collective bargaining agreement.

#### **G. Retirement**

Retirement eligibility is determined by the retirement system selected by the faculty member. Faculty members intending to retire from employment with the university shall notify their dean, director or designee with a signed written resignation stating the effective date, as soon as possible prior to the anticipated retirement date.

#### **H. Resignation**

A faculty member intending to resign from employment with the university shall submit a written resignation to the dean, director or designee and state the effective date. Faculty are

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expected to provide adequate notice to allow for their orderly replacement as specified in the extant bargaining agreement. Faculty members may properly request a waiver of this requirement of notice in case of hardship or in a situation where they would otherwise be denied substantial professional advancement or other opportunity.

## Chapter V: Sabbatical Leave

### A. Sabbatical Leave

#### 1. Policy

Sabbatical leaves for professional development may be made available to faculty members with academic rank who meet the requirements set forth below. The objective of such leave is to increase the faculty member's value to the university and thereby improve and enrich its programs.

#### 2. Purpose

Sabbatical leaves at the university shall be granted for study, formal education, research and other scholarly and creative activity or other experiences of professional value and may include associated travel.

Sabbatical leave should be granted for personal and professional growth of a faculty member. Sabbatical leave shall be granted only when it is shown that the applicant is capable of using the time in a manner that shall increase the faculty member's value to the university.

#### 3. Eligibility

Tenured or tenure track faculty members who shall have completed at least five (5) consecutive years of service at the university shall be eligible for consideration to take sabbatical leave during the sixth (6th) or subsequent year of service. Applicants who shall have completed at least five (5) consecutive years of service at the university from the date of return from any previous sabbatical leave shall be eligible to be granted another sabbatical leave to be taken during the sixth (6th) or subsequent year.

In computing consecutive years of service for the purpose of eligibility, periods of time off and periods of sick leave with salary shall be included. If requested in writing at the time of appointment, a partial year of service that includes at least one (1) semester of full-time faculty member service may be approved by the chancellor, or chancellor's designee, as a full year of service and counted toward eligibility for sabbatical leave. Periods of leave of absence (other than time off and sick leave with salary) and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

#### 4. Terms and Conditions

Sabbatical leaves shall be granted only for periods of one (1) academic year at the rate of six (6) months' salary or one semester at the rate of one semester's salary. A sabbatical proposal that extends beyond the academic year may be approved, but no additional compensation will be paid. Faculty members may, with the prior approval

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of the chancellor or chancellor's designee, accept fellowships, grants-in-aid, or earned income to assist in accomplishing the purposes of their sabbatical leaves. In such cases, the chancellor or chancellor's designee may adjust the sabbatical leave salaries to reflect such income provided that total earnings for the leave period are not less than full salary had the recipient not been on leave. A faculty member on a terminal appointment loses any rights to a sabbatical leave.

5. Application Process

Applications for sabbatical leave shall define the purpose of the leave requested. Each application shall include (1) a sabbatical leave application form, (2) a complete description of the proposed leave project, activities and travel plan, (3) documentation indicating arrangements with cooperating institutions, and (4) a current curriculum vitae. The application should also indicate any prospective income from outside the university.

The process, timelines and application forms can be found on the provost's webpage at <http://www.uaf.edu/provost/sabbatical-leave/>.

6. Approval

Consistent with provisions of this chapter, the chancellor or chancellor's designee may approve such sabbatical leave as are deemed appropriate, considering the merits of the applications and the needs of the institution.

7. Obligation to Return

The recipient is obligated to return to the university for further service of at least one appointment period based on the prevalent appointment period for their unit. Failure of the recipient to fulfill this obligation shall require the full and immediate repayment of salary and benefits received from the university while on leave, except in extenuating circumstances acceptable to the chancellor or chancellor's designee.

8. Reporting

A written report detailing the professional activities and accomplishments for which the leave was granted and specifying the sources and amounts of additional funds secured for this period shall be submitted by the recipient to the chancellor or chancellor's designee within three months after returning from leave. A sabbatical leave report form can be found on the provost's website at <http://www.uaf.edu/provost/sabbatical-leave/>.

9. Leave Credits

As a best practice for effective faculty contribution to UAF mission, Faculty Time Off and Sick leave credits shall be accrued or may be used during the sabbatical leave, proportionate to the percentage of the faculty compensation that the university

has responsibility towards. However, the extant collective bargaining agreement may specify the most current process on leave credits.

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