

POLICIES AND PROCEDURES FOR THE EVALUATION OF FACULTY FOR TENURE, PROMOTION, POST-TENURE REVIEW AND HIRING

I. PURPOSE

The mission of the University of Alaska Anchorage is to discover and disseminate knowledge through teaching, research, engagement, and creative expression. We seek to be a university of distinction, recognized for excellence in teaching and learning centered on professional and craft practice, academic research and creative expression. In achieving our mission, UAA places greatest emphasis on a set of core values:

- Academic freedom and diversity
- Affordable access and high quality
- Student success and community engagement
- Innovation and creativity
- Cooperation and collaboration
- Sustainability and stewardship
- Integrity and accountability
- Effectiveness and efficiency

The following policies and procedures for the evaluation of faculty have been established to provide an equitable and fair assessment of each individual faculty member and his/her contribution to the collective institutional mission, goals and core values.

II. PRINCIPLES

The University of Alaska Anchorage is committed to excellence in the selection and continued development of faculty members. A key aspect of faculty development is the regular evaluation of faculty for retention, tenure, promotion, and post-tenure review. Individual faculty members bring different strengths, perspectives, experiences, and talents to their faculty role, and they are members of disciplinary departments with varying forms of scholarship, foci, and goals.

Therefore, applying an identical set of criteria for all faculty members is unrealistic and can serve to undermine the ultimate quality of an academic unit and the institution as a whole. UAA's faculty evaluation system has been developed to recognize and honor the inherent diversity of faculty work, with the goal of supporting and encouraging faculty to bring together their unique talents into a cohesive and integrated scholarly practice. Furthermore, the system is designed to recognize and support differential emphasis and interests over the course of a faculty member's career.

The examination and evaluation of faculty work must be done within the context of the explicit goals of the institution, embodied in the mission and strategic plan. The most valuable resource the university has for enacting its mission is the time, talent, and expertise of the faculty. An evaluation system aligned with the mission provides faculty with a clear set of expectations around which faculty may focus their work and continue their professional development and achievement. In this way, individual faculty will pursue individualized professional pathways based on their unique talents that contribute to the collective achievement of the institutional mission.

The evaluation of faculty members for hiring, retention, tenure, promotion, and post-tenure review should also occur in the context of established criteria of high-quality work, and clearly communicated expectations and responsibilities set forth by the department chair, dean, campus director or other designated administrator in a faculty member's initial appointment letter, and subsequent modifications made for annual workload agreements; the results of periodic reviews or previous promotion or tenure decisions; and the priorities of the department, unit, college, campus, and the University.

These guidelines and procedures shall be interpreted and implemented within the framework of the UA Board of Regent's Policies (P0.04.101-070), the internal governance procedures of the University of Alaska Anchorage, and the relevant Collective Bargaining Agreements (CBAs) of United Academics (UnAc) and the University of Alaska Federation of Teachers (UAFT).

III. FACULTY ROLES AND RESPONSIBILITIES

Overview of Faculty Responsibilities¹

The central tasks of the university include the promotion of learning and the expansion of knowledge. These tasks place responsibility upon faculty members with respect to their students, their disciplines, the university, and the community. In support of these responsibilities, the university seeks to foster the continued development of faculty in ways that support their effective engagement with students, as well as with local, national and international communities and colleagues. Faculty have a responsibility to their students, their disciplines, the community and the university to strive for exemplary intellectual, ethical, aesthetic, and creative achievement. Such achievements are the defining qualifications for appointment, tenure, and promotion in the professorial ranks. Individuals appointed to the faculty are expected to possess the intellectual and professional integrity associated with the exercise of academic freedom and shared governance, to show respect for the opinions of others, to maintain accepted standards of civility and professionalism, to cooperate effectively with others, and to consider the welfare of the total institution.²

It is expected that all faculty members will maintain currency in the developments in their fields—whether disciplinary, multi-disciplinary, or interdisciplinary—and remain actively engaged in scholarship throughout their careers.

¹ This section is a synthesis and adaptation from a number of sources: E. Boyer (1990). *Scholarship Reconsidered: Priorities of the professoriate*. Princeton, NJ: Carnegie Foundation for the Advancement of Teaching; Portland State University, *Policies and Procedures for the Evaluation of Faculty for Tenure, Promotion, and Merit Increases* (1996); University of North Carolina at Greensboro, *University-wide Evaluation Guidelines for Promotions and Tenure*.

² AAUP, [1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments](http://www.aaup.org/AAUP/pubsres/policydocs/contents/default.htm); [On Collegiality as a Criterion for Faculty Evaluation](http://www.aaup.org/AAUP/pubsres/policydocs/contents/default.htm)
<http://www.aaup.org/AAUP/pubsres/policydocs/contents/default.htm>

All faculty members have a responsibility to engage in scholarly work in teaching, academic research, craft/professional practice, or creative expression, and community engagement, according to their respective appointments and positions, in order to contribute to the knowledge-base in their fields. Each faculty member is also expected to contribute to the shared governance, accreditation processes, and professionally-related service activities of the university.

The Centrality of Scholarship to Faculty Responsibilities

The faculty evaluation guidelines of UAA are grounded in a definition of scholarship that can be appropriately applied to all facets of faculty work: *Scholarship, or scholarly work, is characterized by creative intellectual work reflective of a high level of professional expertise, the significance of which can be examined and validated by others, and which supports the fulfillment of the mission of the University.*

Scholarship encompasses teaching, academic research, creative expression, professional and craft practice, community engagement and service. Scholarship takes a number of forms:

- 1) Discovery-- Advancement of knowledge through original research, or original creations in writing, performance, or production;
- 2) Integration--Synthesizing and integrating knowledge, revealing new patterns of meaning, and new relationships between the parts and the whole, either within a discipline or across multiple disciplines;
- 3) Application—Assessing the efficacy of existing academic, aesthetic, creative, professional or craft knowledge within a particular context or to address a significant problem, refining its implications or using it to effect change;
- 4) Transformation/Interpretation—Revealing, explaining and illuminating knowledge and intellectual, creative, professional or craft processes for others.

This expanded definition of scholarship serves to encompass all outstanding faculty work that furthers the educational goals of students, faculty, academic units and campuses, the university, and the varied communities with which we are engaged. This more inclusive definition of scholarship also allows for greater recognition of diverse activities that reflect the mosaic of faculty talent that strengthens the university as a whole

Scholarship generally implies that one has a solid foundation in the professional field addressed and is current with developments in that field. However, it must be noted that significant advances often accrue when a scholar extends her or his scope of topics to engage in multidisciplinary or interdisciplinary inquiry.

The Focus on Community Engagement³

The University of Alaska Anchorage has been nationally recognized, receiving the Carnegie classification of “Community Engaged University in Curricular Engagement and Outreach & Partnerships.” This is an elective classification UAA sought in order to recognize an important aspect of our institutional mission and sustained efforts. In alignment with the Carnegie

³ UAA Definitions of Community Engagement, Curricular Engagement, Community-based Research, and Engaged Service. Reviewed and Revised by the UAA Faculty Senate and UAA Office of Academic Affairs and submitted by Nancy Andes, Professor of Sociology, and Director, Center for Community Engagement & Learning, May 8, 2007.

classification, UAA describes *community engagement* as collaborations between institutions of higher education and individuals, organizations, and institutions in their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity.

Community engagement expands the variety of university outreach and partnership activities of faculty and recognizes community-based research, engaged service, and curricular engagement as forms of scholarly engagement when they demonstrably meet the principles of high quality scholarship.

UAA highly values quality community engagement as part of faculty roles and responsibilities, and as such consider it a vital component of faculty evaluation considerations. Community engagement includes:

1. *Community-based research* is rooted in a particular time and setting and calls for shared expertise. It values the participation of local community members and brings their perspectives into the research process. It includes community-responsive clinical and population-based care (for example, community-oriented primary care, academic public health practice), and participatory action research. Key differences from traditional social science research are the active inclusion of community members' perspectives and reciprocal learning. Related methodologies include applied research, technical assistance, and policy research, though these do not necessarily maintain a reciprocal relationship with community members during the research process.
2. *Engaged service* happens when faculty are engaged in service in the community in a way that enhances both their experience and the community's well being. This kind of public work and collaborative practice is linked to community-identified problems in a process of community change and development. It relies on faculty expertise and components that define scholarship, including clear goals, adequate preparation, appropriate methods, significant results, effective presentation, reflective critique, rigor, and peer review.
3. *Curricular engagement* includes approaches where teaching, learning and scholarship engage faculty, students, and community in mutually beneficial and respectful collaboration. Their interactions address community-identified needs, deepen students' civic and academic learning, enhance community well-being, and enrich the scholarship of the institution.

Scholarly Agenda

A scholarly agenda is a faculty member's proposed program of scholarly work, outlining his/her professional and discipline-based foci, long-term goals, and proposed contributions to scholarship over a three to five year period. In this way, the agenda serves as the foundation for establishing and maintaining a productive and meaningful career. As each faculty member, regardless of rank, is primarily responsible for planning and guiding his or her own career, the development and enactment of a scholarly agenda is an essential and on-going responsibility for all faculty members. Establishing a scholarly agenda provides a faculty member the opportunity

to identify and define his or her professional goals and focus of scholarly efforts within the framework of departmental, unit, and university goals and mission. It is not designed to limit or inhibit a faculty member's academic freedom nor constrain his/her scholarship. Rather, it allows the faculty member to articulate how to direct and develop his or her unique array of talents and expertise. The scholarly agenda, therefore, should be specific regarding goals, priorities, and scholarly activities, but not a list of tasks or expected outcomes. Over the course of one's academic career, one's scholarly interests, priorities, and relative areas of emphasis evolve and change. For this reason, it is expected that faculty members will revisit and revise their scholarly agenda every three to five years.

IV. EVALUATION OF FACULTY FOR RETENTION, TENURE, PROMOTION, & POST-TENURE REVIEW

The decisions to retain, grant tenure to, or promote a faculty member are among the most vital that take place in a university. One of the hallmarks of a university of distinction is the quality of its faculty and their scholarly achievements in teaching, academic research and creative expression, community engagement, and service. With respect for forms of scholarship, vigor, flexibility, and breadth, it is expected that faculty members will exhibit highly varied profiles of scholarly pursuits and achievement. Judgments about the application of the university's criteria of quality and significance of scholarly achievement within each of the components of faculty responsibility will vary with disciplines and professional fields, and with unit goals.

Those making retention, tenure, and promotion recommendations have an obligation of stewardship to students, consumers of academic research and creative expression, the existing community of scholars and professional practitioners, and the community at-large to ensure the best faculty possible. The conscientious exercise of this responsibility requires that the university retain, tenure, and promote only those faculty members who have demonstrated a consistent pattern of high-quality scholarly achievement across the components of faculty responsibility and whose expertise and achievement have contributed to the unit goals and institutional mission.

Evaluation of Faculty Scholarship

The division of faculty responsibilities into three distinct components serves to clarify a complex evaluation process by providing a framework for the assessment of faculty scholarly work. Although these roles are specified below, it is important to remember that such clear and sharp distinctions between the components do not exist. Rather, scholarly activities should emphasize the mutually-reinforcing and integrative relationships among these components. Moreover, no faculty member will be expected to commit an equal amount of time, make equal contributions, or achieve equally in the three components of faculty responsibilities described below.

a. Teaching and Learning

Teaching well is UAA's primary mission. Teaching is challenging and dynamic enterprise that encompasses a range of scholarly activities, from classroom instruction to including students in research, from mentoring to curriculum development, from participating in faculty development

to the scholarship of teaching and beyond. Faculty members are expected to be reflective practitioners who continuously examine their effectiveness as educators. In addition, their teaching should reveal and develop diverse perspectives, encourage and facilitate inquiry, creativity, and life-long learning, and work to integrate the principles central to the vision, mission, and core values of UAA. (see Section I)

When teaching is part of the faculty assignment, effectiveness is an essential criterion for advancement. Faculty must demonstrate command of their subject matter, continuous growth in the subject field, and an ability to create and maintain instructional environments that promote student learning and attainment of UAA's Institutional Learning Outcomes (see sidebar).

Teaching is much more than instruction in the classroom lab, or via distance-delivery modes and technologies. The work of teaching includes curriculum writing, developing course materials, cultivating community internships, writing letters of recommendation, mentoring, planning and conducting workshops for colleagues, and so on. Every teacher combines these aspects in different ways at different times. Aspects of teaching include:

Instructing: Teaching students in courses, laboratories, field instruction, clinics, studio classes or in web-based environments; teaching participants in workshops, retreats, seminars; managing a course [student assessment, student records, learning experiences]; applying effective instructional design strategies to teaching and learning.

Building and Developing Curriculum: Developing and revising outcomes-based curriculum and assessment; shaping teaching materials, manuals, software; designing and implementing new or varied delivery modes, including web-based and new media technologies; constructing resources to support distributed education and independent learning; selecting, organizing, and providing access to information resources.

Mentoring Students: Advising for academic success and career planning; providing opportunities and supporting students' research and scholarship; providing capstone, service learning, and independent study opportunities; supervising research assistants and teaching assistants.

Advancing Teaching Excellence: Mentoring colleagues and observing their teaching; reviewing current literature and national standards in subject areas; planning and contributing to professional development activities; shaping and improving assessment methods; conducting instructional and classroom inquiry.

UAA's Institutional Learning Outcomes specify that by the time students graduate they will be able to:

- Communicate effectively
- Employ critical thinking skills
- Demonstrate skills for independent learning and inquiry, including information literacy
- Demonstrate a knowledge base in the required general education areas
- Demonstrate specific knowledge and skills in a major discipline or degree

Advancing Student Excellence: Writing recommendation letters and/or nominating students for scholarships and awards; supporting student accomplishments such as Student Showcase, Undergraduate Research Grants, and presentations at professional conferences; chairing student committees such as graduate theses, honors, or capstone courses.

(See Appendix ?, pp ? for more information on UAA's Teaching Excellence Model)

b. Academic Research and Creative Expression

Academic research and creative expression are vital to the mission of UAA in order to advance knowledge, support teaching and learning, and promote the application of knowledge in ways that benefit our local communities and broader society. Faculty members are expected to engage in high quality, significant research or creative activities as appropriate to their positions, disciplines or fields, their continuing professional growth, and the mission of the university. Research and creative expression includes all forms of scholarship--discovery, integration, interpretation and application --and their public dissemination. These activities will generally include, but are not limited to, the following:

Conducting and Disseminating Research: Conducting basic and applied research and inquiry; writing books, monographs, textbooks; writing book chapters; editing books; writing papers in refereed journals and conference proceedings; presenting papers at professional meetings; writing translations, abstracts, and reviews; successfully involving students in ongoing research.

Producing and Performing Creative Works: Writing poems, plays, essays, musical scores; Producing radio and television productions, films, and videos; engaging in competitions, commissions, exhibitions; directing, choreographing and performing creative works, musical, theatrical, or dance; designing and arranging creative works; creating and preparing software and electronically published documents; developing electronic and print information resources that support the curriculum.

Disseminating Curriculum and Pedagogical Innovations: Disseminating creative approaches to teaching methods and techniques, including publication or presentation at professional meetings and the development of software and other technologies that advance student learning; writing grant proposals and receiving grants for the development of curriculum or teaching methods and techniques; participating in the supervision of student research or independent study, capstone projects, and the mentoring of students that leads to the presentation of research and other creative works.

Disseminating Innovations in Clinical and Craft Practice: Disseminating novel or creative approaches in clinical or craft practices, including publication or presentation at professional meetings; the development, production, and dissemination of tools, technologies, or methods that enhance clinical or craft practice.

Editing and Managing Creative Works: Fulfilling editorial assignments with scholarly and professional publications, including journals, newsletters, or electronic media; participating in scholarly conferences as panel organizer and/or discussant; organizing and directing scholarly conferences, symposia, and other similar activities.

Leading and Managing Funded Research, Contracts, and Creative Projects: Leading multidisciplinary projects, task forces; writing proposals to funding agencies [private, public, and internal]; managing budgets of grants and contracts; selecting and supervising staff; preparing required reports.

c. Service

Academic and professional service is essential to creating an environment that supports scholarly excellence, enables shared governance, meets the internal operational needs of the university, and enhances the region, state, and world. All faculty members are expected to engage in service activities, with increasing involvement at higher ranks. Service can take a number of forms including:

Community Engagement

Faculty members who focus on community-engaged service enhance both their scholarly knowledge and the community's well being. Community Engagement is grounded in collaborative practice and shared leadership and focuses on the application of knowledge and processes to community-identified problems and concerns. The central focus of the work is engagement in a process of community change and development.

Professional Service

Faculty members engaged in professional service use their academic training, professional expertise, and experience to serve the public or discipline, while contributing to the university's mission. The diversity of external needs, as well as faculty training and experience, leads to many different forms of professional service. These may include, but are not limited to activities such as serving on public boards, task forces or committees, providing workshops or training, or serving as a reviewer, officer, or in another leadership capacity for discipline-based organizations or associations.

University Service

University Service includes service to the department, college, and university. Faculty engaged in University Service contribute to the shared governance system and institutional development through a variety of activities including service on committees, task forces, policy advisory bodies, and the development and management of academic programs.

Directed Service

This type of service, whether performed for the department, the university, or the public at large, is explicitly defined and delineated in a faculty member's position description, requires academic credentials or skills, and is in general routinely and explicitly scheduled in terms of time and place. Such service furthers the mission of and is central to the goals of the department or unit. Typical examples are the responsibilities of librarians, counselors, academic program directors or coordinators, directors of centers, institutions, or special programs, and department chairs. In some cases, these service activities constitute a significant part of a faculty member's contributions to the university and its mission. However, not all departments, units, campuses, or colleges will include this category of service.

Quality and Significance of Scholarship⁴

In the faculty evaluation and review process, the emphasis is on the critical assessment and evaluation of the quality and significance of the candidate's scholarly achievements by professional peers. Thus, the evaluation system must distinguish among the criteria that relate to the quality of a faculty member's scholarly work, as well as the equally important criterion of the significance and relevance of this body of work to the department, unit (college or campus) and institutional mission(s).

A consistent pattern of high quality of scholarship across all dimensions of faculty work is more important than the quantity of work done, as it reflects the promise of continued professional development and exemplary scholarship. The criteria for evaluating quality and significance of a faculty member's scholarship include the following:*

1. Reflects high level of discipline-related expertise

2. Establishes clear and relevant goals

3. Uses appropriate methods and resources

4. Effectively documented and communicated

5. Results in significant impact or outcomes

6. Demonstrates ethical behavior

Conforms to and promotes the established legal and ethical codes of conduct of the discipline or professional field and university, including counseling students, supervision of staff, treatment of students, staff and faculty colleagues, issues related to intellectual property rights, and the protection of human and animal subjects.

**Narrative descriptions to follow for items 1-5.*

⁴ This section has been adapted from a number of sources: Portland State University, Policies and Procedures for the Evaluation of Faculty for Tenure, Promotion, and Merit Increases (1996); R. M. Diamond & B.E. Adams (1993). Recognizing Faculty Work: Reward systems for the year 2000. San Francisco: Jossey-Bass; C.E. Glassick, M. T. Huber, & G.I. Maeroff (1997), Scholarship Assessed: Evaluation of the professoriate. San Francisco, Jossey-Bass