COLLEGE OF BUSINESS & PUBLIC POLICY

University of Alaska Anchorage

Faculty Evaluation Criteria and Guidelines

This document is to be used in conjunction with the Policies of the University of Alaska Board of Regents (Regents) and the University of Alaska Anchorage (UAA), and the collective bargaining agreements between the University and legally recognized faculty union(s). If a conflict exists between these policies and the others, then the others shall prevail. Requirements addressed in those documents are not repeated herein. Reviewers and candidates are required to consult those documents as necessary.

Implementation Date: 2013

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I. Goals of Faculty Reviews

The overall goals of faculty reviews are to guide and motivate faculty to meet or exceed the minimum performance requirements of their workload agreements. As such, each faculty member shall be evaluated independently and shall not be compared to, or ranked against, other faculty due to the unique nature of individual appointments, workloads, resources, and responsibilities.

The goals of reviewer's comments shall be to evaluate progress, provide feedback, and/or identify needed changes for progression towards tenure, promotion, and tenure under these standards. The purpose of post-tenure review is to ensure that faculty continue to perform at a level appropriate for academic rank.

Performance evaluations are not simply checking numerical scores or article counts, although achieving those minimums constitutes a presumption of a sustained record of effectiveness. Professional judgment is required by reviewers in assessing the quality and quantity of performance above the minimums, particularly to demonstrate a sustained record of excellence, and such judgments necessarily remain subjective to a degree.

Faculty hired at the rank of Associate or Full Professor must meet the same standards for tenure as he/she would for promotion to that rank.

Training of Reviewers

Prior to conducting any evaluation using these standards, each evaluator shall carefully read, review, and study this document with sufficient effort to become thoroughly familiar with the standards. In addition, while evaluators are not expected to memorize these standards, they should be prepared to consult the standards as needed during an evaluation in order to faithfully and correctly apply them. Every evaluator is individually responsible for maintaining their own understanding of the standards. In addition, each evaluator must attend a training session at least once every four years as defined on page 40 of the UAA Faculty Evaluation Guidelines.

II. Review Procedures

Faculty who are candidates for progression towards tenure, comprehensive fourth year, tenure, promotion, or post-tenure review, shall submit an evaluation file to demonstrate the expected performance defined in this document. The candidate is responsible for ensuring that the evaluation file is complete. The content of evaluation files is fully described in the UAA Faculty Evaluation Guidelines, Chapter IV, Full and Abbreviated Files (page 30-34).

The procedures for each type of review and requirements for time in rank and service at UAA are addressed in Regents' Policy, UAA Faculty Evaluation Guidelines, and collective bargaining agreements and guidelines.

The Regents' Policy, UAA Policy, and the College of Business & Public Policy Faculty Criteria and Guidelines may be found at:
http://www.uaa.alaska.edu/facultyservices/tenure/index.cfm
The collective bargaining agreements may be found at:
http://www.alaska.edu/hr/labor/index.xml

The appendix in this document specifies the terminal and master's degrees acceptable for each department or area of responsibility.

The Peer Review Committee shall consist of five members from the College of Business and Public Policy. Four members shall be appointed by the Dean in accordance with UA and UAA policy and the respective collective bargaining agreements and one member shall be of the candidate's choice.

III. Criteria for Progression Towards Tenure for Non-Tenured Tenure-Track Faculty

Non-tenured tenure-track assistant professors must demonstrate progress towards meeting the performance criteria for tenure and/or promotion for both annual and fourth year comprehensive reviews. Non-tenured tenure-track associate professors must meet the performance standards appropriate for promotion to their rank.

IV. Criteria for Tenure and/or Promotion to Associate Professor

A. Teaching: A Sustained Record of Effectiveness

The minimum standard for effective teaching is evidence that a majority of students achieve the stated learning objectives for the course, that the instructional environment is conducive to learning, and that the course content is up to date. This requires faculty members to maintain currency in their discipline and instructional performance by meeting academic or professional qualification criteria. Instructors are encouraged to take risks by experimenting with innovative pedagogical approaches and should not be punished for unsuccessful innovations. However, they are expected to learn from their mistakes and overall to be successful. Faculty members are expected to be reflective practitioners who continuously examine their effectiveness as educators.

The evaluation of teaching needs to take into account such factors as the number of preparations and differing class sizes or characteristics. Teaching effectiveness shall be evaluated based on the faculty member's course objectives, course

organization, presentation of material, efforts to keep current in their subject matter, and student evaluations. Evaluations shall include a review of all relevant attributes and may not rely solely or primarily on surveys of student opinions of teaching. Documentation to support all attributes of teaching performance is required. Faculty members who perform below this standard are expected to demonstrate improvement over time.

Due to differences in course content and/or structure, some measurement criteria listed below may not apply to all situations or may apply to multiple situations.

Instruction and Learning Experiences may include:
- Delivery of formal classroom undergraduate and graduate courses for which university credit is given;
- Distance delivery of undergraduate and graduate courses for which university credit is given;
- Additional teaching and tutoring outside the normal classroom sessions (e.g., review sessions, study groups, guest lectures in other courses, etc.);
- Delivery of non-credit courses, lectures, seminars, or training sessions;
- Incorporating community engagement projects in the course design;

Documentation that demonstrates effective instruction may include:
- Examples of instructor lecture notes, handouts, assignments, and examinations;
- Teaching awards;
- Evidence of the use and effectiveness of media in teaching (e.g., computer applications);
- Evidence demonstrating the development of innovative teaching techniques;

Building and Developing Curriculum and Learning Resources may include:
- Development of new or special courses, or development of teaching aids such as manuals, guides, and media presentations, including computer-based applications and distance delivery;
- Applying effective instructional design strategies;
- Assessment of student learning outcomes as a part of the normal conduct of classes.

Documentation to support Building and Developing Curriculum and Learning Resources may include:
- Evidence demonstrating implementation of student outcomes assessment;
- Evidence of new course development;
- Evidence of curriculum or program development or revision;
- Written feedback from other faculty and peers.

Mentoring Students may include:
- Supervision of independent study, internships, and graduate projects;
- Advising and mentoring of students for academic success and career planning;

- Developing community/professional internships for students;

Documentation to support Mentoring Students may include**:**
- Evidence of out-of-classroom assistance provided for students;
- Evidence of the number of student advisees;
- Evidence of participation in UAA advising and counseling training seminars and workshops;
- Evidence of participation in UAA advising sessions;
- Feedback from current and former advisees;
- Feedback from UAA faculty and peers.

Advancing Teaching Excellence may include:
- Using student feedback and self-reflection to enhance or change instructional practices;
- Mentoring other faculty members;
- Professional development in support of teaching, including continuing education, participation in pedagogical workshops and seminars, and other methods of keeping current in the field, including self-study;
- Selecting and acquiring textbooks and resources to support curriculum and research;

Documentation to support Advancing Teaching Excellence may include:
- Evidence of successfully completing additional degrees, certificates, and courses related to the faculty member's teaching responsibilities;
- Documentation to support participation in teaching improvement programs, seminars, conferences, etc.;
- Documentation of self-study and independent research to keep current or to advance one's knowledge and teaching skills;
- Attendance and participation at professional meetings, workshops, seminars, training sessions and conferences.
- Evidence of mentoring colleagues;
- Evidence of shaping and improving assessment methods;
- Evidence of conducting instructional and classroom inquiries (scholarship of teaching and learning);
- Evidence supporting the implementation of ideas from professional development activities;
- Evidence supporting the use of student feedback and self-reflection to enhance or change instructional practices.

Advancing Student Excellence may include:
- Writing letters of recommendation or nominating students for scholarships and awards;
- Supporting students' accomplishments, such as Student Showcase, Undergraduate Research Grants, or presentations at professional conferences;
- Including students in research;

Documentation to support the Advancing of Student Excellence may include:
- Evidence of writing letters of recommendation or nominating students for scholarships and awards;
- Evidence of supporting students' accomplishments, such as Student Showcase, Undergraduate Research Grants, presentations at professional conferences;
- Evidence of serving as chair of graduate or undergraduate theses, and honors or capstone project committees.

In addition to documents required by the BOR, UAA, and respective CBAs, supporting documentation may include:

- Faculty's written short- and long-term goals and teaching objectives;
- Letters, notes and written comments from former students;
- Letters from UAA faculty and external peers.

B. Service

The purpose of evaluating service performance is to encourage faculty to actively apply their knowledge and skills to *help others.* Service reflects favorably upon UAA, the College, and its constituencies.

Service includes:

- University service,
- Service to the faculty member's profession, and
- Service to the community for which no significant payments for services are received.

It is recommended to use the same categories for service as listed in the university FEG's.

Faculty participation in all categories is desirable. However, we encourage faculty to pursue service where they can be most productive and beneficial. Extensive participation and contribution in one or two categories of service may offset limited participation in the other area(s).

The minimum standard for effective performance is evidence that the faculty member is using his or her knowledge and skills to help others in the community, university and profession, and that the time committed to these activities is consistent with the workload. Leadership and evidence of active contributions (outputs) are to receive greater credit than simply being a member in organizations or on committees. Leadership may be demonstrated by initiating or taking charge of tasks and successfully motivating others, as well as chairing committees and undertaking special projects or assignments.

University service includes all activities internal to UA that help achieve the mission of the University, including service to students, faculty, staff and administrators. Examples include, but are not limited to, committee assignments, participation in

faculty governance, some union activities, task forces or special projects, and assurance of learning activities.

Service to the profession includes activities in local, regional, national, or international professional associations, groups or organizations, and other contributions to the academic and practitioner community outside the University and within in the faculty member's discipline or area of teaching or research. Examples include but are not limited to the following:

- Holding office, serving on boards, and serving on committees in professional associations;
- Serving as reviewer, discussant and session chair at professional meetings or for journals;
- Reviewing articles, chapters, textbooks and trade books for editors or publishers;
- Membership and/or participation in professional organizations.

Service to the community includes all other service not counted within University service or service to the faculty member's profession. This includes, but is not limited to service to elected officials or candidates for elected positions, public agencies, schools, private businesses, not-for-profit or charitable organizations, public interest groups, community groups, trade associations, labor organizations, and the general public. Community service activities include, but are not limited to:

- Serving as an officer or director of groups or organizations;
- Delivering off-campus lectures, speeches, seminars, tutoring or training sessions;
- Providing unpaid consulting services (see below).

Reviewers should give primary emphasis to rewarding service activities that make use of, or apply the faculty member's professional knowledge and skills. Service may also include help and assistance provided to others not directly related to the faculty member's professional skills and discipline.

We encourage faculty to continue gaining direct practical experience in their teaching area or discipline, either through field research, service or consulting. Consulting includes professional activities outside the University for which a faculty member receives compensation. Receipt of nominal honoraria, use of facilities, products or services at no significant additional cost to the provider, and reimbursement of direct expenses shall *not* be deemed "compensation". A reasonable amount of time performing paid consulting in addition to regular duties during contract periods, or consulting outside contract periods, may be desirable for professional development, but it will not be considered as teaching, academic research or service for purposes of faculty evaluation. Consulting may be considered for its contribution to continuing development of disciplinary or professional knowledge and skill.

C. Intellectual Contributions

Intellectual contributions include academic research and creative activities that support the mission of the College. These include activities that have a significant element of engagement with broader communities.

The purpose of evaluating intellectual contributions (ICs) is threefold: (1) to ensure that every tripartite faculty member meets professionally recognized standards, and (2) to encourage faculty to make contributions to academic research and creative activity on a continuing basis in line with the College's mission and the individual's workload agreement, and (3) to make those outputs publicly available.

Academic research and creative activity may be generated through all forms of scholarship--discovery, integration, transformation/interpretation, engagement, and application--and contributes to the generation and dissemination of knowledge within the discipline, craft or professional field as defined by the respective scholarly community. It is expected that academic research and creative activity will be demonstrated through some combination of one or more of the following categories:

- Conducting and Disseminating Academic Research
- Developing and Disseminating Curriculum and Pedagogical Innovations
- Editing and Managing Creative Works
- Leading and Managing Funded Research Programs

A candidate's intellectual contributions should be primarily in his or her discipline. The minimum output of academic research for a successful evaluation in any given five year period is two (2) items from Category A and three (3) more from either Category A or Category B of sufficient quality as described below in the general criteria for evaluating quality and significance section. The candidate should also show evidence of a portfolio of on-going research which suggests a sustained record of effectiveness for the foreseeable future.

All items considered in Category A must meet the following standards:

1. Publication. Published item must be publicly available, either in print or in a comparable alternative medium. Acceptance letters from publishers or editors shall be acceptable proof of publication.

2. Externally reviewed. External review is defined as being independent of UAA or the faculty member. For any publication, the candidate must demonstrate that the item being considered was scrutinized by a peer or peers (for scholarly merit) before acceptance.

3. Significant individual contribution. In the case of shorter documents (five pages or less) or those with more than three authors, the candidate must provide

evidence that he or she was responsible for substantial input, effort, or creative thinking.

Category A

- Academic journal articles

- Books

- Professional or trade journal articles clearly grounded in applied research or practice in the candidate's area of expertise

- Chapters in books clearly grounded in the candidate's academic area of expertise

- Research monographs and reports

- Cases in journals

Category B

- Conference proceedings

- Conference presentations

- Professional or academic presentations

- Editing of books and journals in areas related to the candidate's area of expertise

- Published book reviews in areas related to the candidate's area of expertise

- Published teaching or instructional materials (e.g., instructor's manuals, study guides, companion CDs, "how to" books) Instructional software

- Reports and research products – such as computer models - produced as a result of externally-funded research activity.

- Initiation and organization of scholarly conferences, symposia, and similar activities

- Leading and managing funded research projects

If the candidate wishes to include an item not listed above or wishes to include an item from Category B as an item in Category A, the burden of proof lies with the candidate to demonstrate why that exception should be made.

Reviewers of the candidate should focus on the quality and significance of the candidate's overall performance and progress towards meeting the standards.

General criteria for evaluating quality and significance include:

- The activity reflects a high level of discipline-related expertise.
- The activity demonstrates a systematic approach built on clearly established goals.

- The activity uses appropriate methods and resources
- The activity is effectively documented and communicated to appropriate audiences in ways that subject the intellectual content to critical and independent consideration and review.
- The activity results in positive impact or outcomes, particularly outcomes that are valued by those for whom it was intended.
- The activity upholds professional ethical standards

Specific indicators of quality and significance applicable to intellectual contributions include:

- Favorable comments by outside peer reviewers;
- The reputation of the publication in which the output appears (e.g. ranking of the journal in a discipline);
- Being cited by other authors;
- Awards;
- The item is included in libraries, or is available through recognized databases (e.g. ABI/Inform), or through outside Internet services;
- Favorable letters or e-mail from readers.
- Special contributions to the college's mission or strategic objectives.

Meeting the minimum standards is successful performance.

<u>Variations in Workload or Review Period</u>

All tripartite faculty members are expected to meet the foregoing successful performance standards over the course of their review period. Faculty with a workload greater than 20% research must meet the same minimum standard and produce additional academic research consistent with their workload. Category B work products may constitute successful performance for externally funded grant or contract research.

To be considered/included in the review period for promotion and/or tenure, years in rank brought in from other comparable institutions must be negotiated and documented at the time of initial appointment.

V. Criteria for Promotion to Professor or Tenure of a Professor

Excellent performance is expected in all workload areas and a marked strength in at least one area. Professional judgment is required by reviewers in assessing the quality and quantity of performance above the minimums, particularly to assess excellent performance.

A. Teaching: A Sustained Record of Excellence

Sustained excellence in this area should be based on the overall quality of courses taught. Evidence of quality may be indicated by, but is not limited to, the following:

- Rigor, comprehensiveness, and currency as demonstrated through syllabi;
- Teaching awards and recognitions;
- Outside recognition of collective (not individual) student quality in courses (for example, competitions won by students groups, honors received by multiple students, and other external public recognitions);
- Outstanding efforts directed towards course design and development;
- Outstanding efforts directed towards development of course materials;
- Continual attention to student learning outcomes and measures.

B. Service

Excellent performance is expected in university, professional, and community, and is indicated by the level of responsibility and degree of commitment of time and effort. Demonstrated leadership is required. Evidence of leadership may be indicated by, but is not limited to, the following:

- Committee chair;
- Officer of an academic or professional association;
- Recognition of service by University, College or community or service organization.

C. Intellectual Contributions

High quality academic research and creative activity is demonstrated by a record of scholarly work and intellectual contributions that consistently exceeds the minimum standards for effective performance in this category. The primary basis for this determination is the quality of the contributions, though quantity is also valued. Early achievement of the minimum standards for effectiveness is not, by itself, a demonstration of sustained excellence.

General criteria for evaluating quality and significance include:

- The activity reflects a high level of discipline-related expertise.
- The activity demonstrates a systematic approach built on clearly established goals.
- The activity uses appropriate methods and resources
- The activity is effectively documented and communicated to appropriate audiences in ways that subject the intellectual content to critical and independent consideration and review.

- The activity results in positive impact or outcomes, particularly outcomes that are valued by those for whom it was intended.
- The activity upholds professional ethical standards

Specific indicators of quality and significance applicable to intellectual contributions include:

- Favorable comments by outside peer reviewers;
- The reputation of the publication in which the output appears (e.g. ranking of the journal in a discipline);
- Being cited by other authors;
- Awards;
- Favorable letters or e-mail from readers.
- Special contributions to the college's mission or strategic objectives.

D. Status as Academically and Professionally Qualified

Maintaining the status of being both Academically Qualified and Professionally Qualified provides evidence of excellent performance in service and teaching.

VI. Post-Tenure Review

Faculty members being reviewed post-tenure shall be evaluated using the performance standards appropriate for their rank as defined above.

VII. Emeritus

A faculty member being considered for emeritus status should have the following qualifications:
- Full Professor (or, in exceptional circumstances, faculty whose academic credentials made them ineligible for the rank of full)
- 10 years at UA immediately prior to retirement
- A sustained record of high quality scholarly accomplishment
- A sustained record of contributions to the mission, reputation and quality of the University

VIII. Distinguished Professor

Departments may nominate a member for the honor of Distinguished Teaching, Research, or Service Professor or University Professor. This award is for rare and special achievement in one or more of the following areas:
- research or creative work
- classroom teaching and supervision of individual learning
- service to the profession, the community, or the university

Nominating departments must justify their nominations with appropriate supporting evidence. Examples of such evidence include, but are not limited to, documentation of national or international recognition of scholarship, documentation of awards received, or documentation of specific contributions to the profession, the community, or the university. A University Professor demonstrates special achievement in all areas or his or her workload.

IX. AACSB Accreditation Expectations

AACSB accreditation standards look for business schools to produce "academic programs that demonstrate 'overall high quality' and support an environment of 'continuous improvement'" (see Deploying PQ Faculty: An Interpretation of AACSB Standards, Nov 2006, p. 2). The expectation is that "faculty, has, and maintains, intellectual qualifications and current expertise to accomplish the mission and to assure that this occurs, the school has a clearly defined process to evaluate individual faculty member's contributions to the school's mission (AACSB Accreditation Standards, January 31, 2007, p. 40). It is expected that all faculty members assume the responsibility for maintaining their intellectual capital. "Obtaining and maintaining academic or professional qualifications is a function of both original academic preparation and subsequent activities that maintain or establish preparation for current teaching responsibilities" (see Deploying PQ Faculty: An Interpretation of AACSB Standards, Nov 2006, p. 3).

A. Qualifications at Time of Hire

Faculty hired to teach courses for the College are expected to meet one of the following sets of criteria at the time of hire. These criteria apply to faculty hired on or after July 1, 2008. Faculty hired before July 1, 2008 are assumed to have fulfilled these criteria at time of hire.

1. Academically Qualified: (1) Possesses a terminal degree or provides evidence that a terminal degree will be completed within the first year of hire; and (2) meets the minimum output criteria for intellectual contributions as stated in the CBPP Faculty Evaluation Criteria and Guidelines or has completed a terminal degree within the past five years.

   or

2. Professionally Qualified: Possesses a master's degree or higher terminal degree in a field related to the area of teaching assignment and professional experience of duration and responsibility sufficient to provide the intellectual capital required to contribute to the teaching mission of their department/program and the college.

B. Maintenance of Currency

Faculty are expected to maintain currency and relevance in their discipline. The following criteria will be used to evaluate maintenance of currency and relevance.

1. Faculty hired as Academically Qualified must meet the minimum output criteria for intellectual contributions as stated in the CBPP Faculty Evaluation Criteria and Guidelines over the previous five year period.

2. Faculty hired as Professionally Qualified must participate in significant and continuous development activities that maintain their intellectual/professional capital within the relevant discipline during the previous five years. Appropriate activities include the following:
   a. Held an executive-level position within a public, private, or not-for-profit organization;
   b. Provided professional consultancy services;
   c. Participated on public, private, or not-for-profit corporate boards;
   d. Volunteered regularly for professional service to public, private, or not-for-profit organizations;
   e. Maintained professional certification(s);
   f. Participated in continuing professional development; and, along with the above,
   g. Authored or co-authored pedagogical or discipline-related intellectual contributions as defined by CBPP Standards.

3. ISER faculty may be exempted from AQ and PQ criteria provided they are not teaching during their review period.

4. In response to a college need, faculty may, in consultation with their department chair and dean, have the option of changing between AQ and PQ status.

In order to assist the faculty in maintaining currency and relevance in their discipline, faculty will complete and submit an annual summary documenting their activities and their AQ or PQ status. This form will be submitted through the appropriate CBPP administrative channels at the same time workload agreements are submitted. (Note: completed workload agreements are required to be submitted to the Office of Academic Affairs no later than the last day of the previous contract year for faculty represented by United Academics and September 15 of the current year for faculty represented by UAFT. The CBPP Dean's office will notify faculty of an earlier college due date to facilitate processing.)

The AQ/PQ reporting form, along with the workload agreement will assist each faculty member and the Dean in developing short-term and long-range plans to ensure appropriate levels of support for faculty to achieve or maintain currency and relevance in their discipline.

X. Appendix

Terminal and Appropriate Degrees

All terminal and master's business degrees must be from AACSB accredited institutions.   All non-business terminal degrees must be from an institution whose business program is accredited by the AACSB or from a program accredited by an association comparable to the AACSB.

The area of teaching and research responsibility shall define the discipline.

Accounting

Terminal degree: Doctorate in Accounting, a closely related discipline, or a doctorate and an AACSB Bridge Program certificate. For those individuals teaching taxation the terminal degree can be: (1) an LLM in taxation and a CPA; or (2) a JD or LLB with an accounting master's degree.

Master's degree: Master's in Accounting or Taxation or an MBA with a CPA.

The appropriateness of a discipline shall be based on the quality of the match between teaching responsibilities and the degree discipline. Research focus must be substantially within the Accounting area.

Business Administration

Terminal degree: Doctorate in an appropriate discipline. A JD or LLB is an appropriate degree for those individuals teaching business law.

Master's degree: MBA, MA, or MS in an appropriate discipline (note: an MBA without discipline concentration is insufficient)

Economics

Terminal degree: Doctorate in economics, agricultural economics, or resource economics.

Master's degree: MA or MS in economics.

Logistics

Terminal degree: Doctorate in Logistics, Supply Chain Management, or a related discipline.

Master's Degree: MS, MBA or MA in Logistics, Supply Chain Management, or a related discipline.

Computer Information Systems

Terminal degree: Doctorate in an appropriate discipline.

Master's degree: MBA, MA or MS with a concentration in an appropriate discipline.

The appropriateness of a discipline shall be based on the quality of the match between teaching responsibilities and the degree discipline. Research focus must be substantially within the CIS area.

Exceptions can be made to the Master's degree requirement if there is substantial evidence of academic preparation and professional experience relevant to the teaching assignment. The professional experience must be significant in duration and level of responsibility, and be current at the time of hiring.

Public Administration

Terminal Degree: Doctorate in Public Administration or other discipline relevant to the particular position.

Research Centers

Terminal Degree: Will depend on the nature and term of appointment.